Gofal Cymdeithasol Cymru
Social Care Wales

PUBLIC BOARD MEETING

28 April 2022
Social Care Wales offices, Cardiff
09:00 – 13:30

09:00 **Private session** – Board members only

Public session				**Page**
09:30	1.	Welcome and opening comments from the Chair	Oral	
09:35	2.	Apologies and Declaration of Interests	Oral	
09:40	3.	Minutes of the Board meeting 03 February 2022 To endorse	SCW/22/08	3
09:45	4.	Action log & Matters arising	SCW/22/09	23
09:50	5.	Update from Committee Chairs To note and receive	Oral	
10:05	6.	Context setting and key messages from the Chief Executive To note and receive	Oral	
10:20	7.	Business Plan 2022-2023 Appendix 1 To consider and approve	SCW/22/10	26
10:35	8.	Strategic Risk Register 2022-23 To discuss and note	SCW/22/11	61
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11:05	9.	Business Plan Q4 progress report To consider and approve	SCW/22/12	71
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12:05	12.	Corporate Governance policies To consider and approve	SCW/22/15	128

12:20 – 12:30 – Comfort Break

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For discussion:

13:15	16.	Meeting effectiveness To discuss	Oral	
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Date of next meeting:

Thursday 21 July 2022 – virtual Zoom meeting

PUBLIC BOARD MEETING

03 February 2022
Virtual Zoom meeting
09:30 - 13:00

Present:

Board Members:	**Social Care Wales Officers:**
Mick Giannasi, Chair	Sue Evans (Chief Executive Officer)
Abigail Harris (items 1-7)	Andrew Lycett (Director of Finance, Strategy and
Carl Cooper	Corporate Services)
Damian Bridgeman	David Pritchard (Director of Regulation)
Donna Hutton	Sarah McCarty (Director of Improvement and
Emma Britton	Development)
Grace Quantock (items 11-14)	Geraint Rowlands (Assistant Director Finance and ICT)
Jane Moore	Kate Salter (Assistant Director Corporate Services)
Kate Hawkins	Rhianon Jones (HR Manager)
Maria Battle	Llinos Bradbury (Governance Senior Officer - minutes)
Rhian Watcyn Jones	
Simon Burch	**In attendance:**
Trystan Pritchard	Aled Jones, Cymen (simultaneous translation)
	Lora Payne

Public session:

1. Welcome and Opening Comments from the Chair

i. The Chair welcomed everyone to the meeting and particularly extended a warm welcome to Emma Pritchard and Carys Evans who had recently joined the organisation's Communications Team. The Chair encouraged contributions in Welsh making use of the simultaneous translation service which was available.

ii. The Chair informed Board members that a Jamboard would be used to capture feedback about the effectiveness of the meeting. Three questions had been asked and members were asked to contribute their comments as the meeting progressed and these would be discussed at the end of the meeting.

2. Apologies and Declarations of Interest

i. Apologies were noted from Peter Max and Jo Kember

ii. No new declarations of interest were declared.

3. Minutes of the Board Meeting 21 October 2021

i. The minutes of 21 October 2021 were discussed and endorsed by the Board as an accurate record of the meeting.

4. Action Log and Matters Arising

i. Members' attention was drawn to the rolling action log which provided updates on the progress which had been made against outstanding actions since the last meeting.

ii. The Chair updated on the following open actions:

- 11/21/SCW - the Chair and SE had met to discuss how best to keep members informed about developments between meetings. It was proposed that going forward, SE would provide the context for each quarterly Board meeting and any updates required between meetings will be provided during the monthly development session. The Chair would also continue to produce his regular 'In-Touch' briefings to keep colleagues updated on topical issues and the outcomes of meetings attended. This would hopefully ensure that the Board is regularly updated but further ad-hoc briefing sessions can be arranged by SE as and when necessary. Members were content with this approach, and it was agreed that the action should be closed;
- 20/21/SCW - members had asked to be kept updated on the organisation's response to climate change and decarbonisation agenda. The Chair advised that AL leads on this work for the organisation and regular updates have been provided to the Board via the Portal as the work has progressed. Members agreed that this action would now be **closed** as reporting has now become business as usual;
- 05/21/SCW – this action related to increasing awareness and skills at Board level in relation to cyber security and in particular to the idea of appointing a specialist advisor to the Board. SE said that she would be meeting with an interested individual in the coming week whilst AL continued to make contacts with relevant organisations who could support Social Care Wales. The Chairs Coordinating Group (CCG) will discuss this further at the next meeting on 3 March 2022 with a view to developing recommendations to take forward.

iii. There were no further comments or questions on the action log and members agreed that they had **noted and received** the updates against the actions.

5. Update from Committee Chairs

i. The Chair updated the Board on the discussions which took place at the Remuneration Committee on 18 November 2021 which resulted in a recommendation being made in respect of the annual pay uplift for the financial year 2021-22. The recommendation has been submitted and is awaiting Welsh Government approval. Further information about the recommendation which has been made can be found in the detailed quarterly HR update on the portal.

ii. The Chair provided a brief overview of the factors which the Committee had taken into account, including questions of affordability, what other public sector bodies had agreed, the Welsh Government settlement for its own staff and the desire of the Committee to reflect the organisation's success in delivering its remit during 2020-21.

iii. As Chair of the Audit and Risk Committee, RWJ provided a summary of the September Committee meeting and highlighted the following issues: -

- the meeting had focused on the new Strategic Risk Register ahead of the December Board Development session;
- a number of internal audit recommendations had been re-raised (e.g., the next review date not being noted on organisational policies) and despite the head of internal audit not being unduly concerned about this, some Board members had reflected that within their own organisations, having out of date policies would not be acceptable and had encouraged a more rigorous approach going forward;
- the Chair of the Board observed the meeting and, in his feedback, said that he had been struck by the way that the different backgrounds and perspectives of individual members had resulted in constructive and balanced discussions.

iv. As Deputy Chair of the Improvement Committee, DB said that the Chair had provided a written summary of the highlights which he would circulate to colleagues following the meeting. DB said that in summary, the key issue was that a lengthy discussion which had taken place during the meeting around the fragility of the sector and the need for Social Care Wales to be seen to be doing everything possible to respond to the current situation. There was also a request that all papers coming to future committee meetings should be framed in that context. This led to a rich and dynamic discussions during the meeting.

v. The Chair thanked DB for the overview and reminded members that the January Board development session had focussed on exploring the issues which the Committee had raised around Social Care Wales response to the current situation.

vi. As Chair of the Regulation and Standards Committee, SB said that the discussions at the September meeting had been focused around:

- an overview of the regulation reform project;
- an update on SCIE's research into how COVID had affected newly qualified social workers;
- a review the annual social work education and training report.

vii. SB said that in relation to the education and training report, the Committee felt that the report lacked the voice of the student and requested that some amendments be made prior to publication to include some direct quotes or comments from students.

viii. SB also drew members attention to item 10 on the agenda of the current meeting (Registration Requirements for Social Care Workers). An initial meeting was held to discuss this emerging issue prior Christmas involving SB, the Chair, DP and SE prior. As a result of those initial discussions, an ad-hoc meeting of the Regulation and Standards Committee was arranged (also attended by a number of other Board members) where the proposal had been scrutinised and challenged.

SB felt that this approach, which enabled the Committee to have a focussed discussion on a particular item with an invitation for all members to attend, was a good model for future working.

viii. KH endorsed SB's comments in relation to the absence of student feedback in the social work education and training report and suggested that it was something that could easily be added in future. KH added that as part of the Accolades judging for the category 'health and wellbeing of the workforce' she had met with newly qualified social workers who were really positive about how they had been supported and made to feel included whilst working remotely.

ix. In closing this agenda item, the Chair said that he had observed all three meetings in the last committee cycle and felt that the committee structure was working well and that the quality of debate, challenge and scrutiny demonstrated the underlying strength of the organisation's governance arrangements that. He also added that the support of officers attending those meetings was integral to that and thanked those involved for the commitment.

x. There were no further comments or questions from members on the updates provided.

6. Context Setting and Key Messages from the Chief Executive

i. SE set the context for the meeting, supplementing the briefing document which had been shared with Board members prior to the meeting with some verbal updates. She highlighted the following issues which she thought would be of particular interest to members:

- EMT would shortly be reflecting on the content of the Jamboards used at recent meetings to consider the feedback and suggestions which had been provided;
- feedback was awaited on the pay remit application from the Welsh Government who were considering submissions from all arm lengths bodies simultaneously;
- the quarter three monitoring meeting with Welsh Government was scheduled for Monday 7 February when further information on the budget for 2022-23 and the pay remit application was anticipated;
- the Mental Health Workforce Plan was currently out for consultation with the workforce plans for domiciliary care workers and qualified social workers currently in development;
- the HR quarterly report, which was available on the Portal, highlighted the extremely positive results which had emerged from the recent staff survey. The survey had also identified some areas which required consideration, particularly in relation to increasing workloads and perceived low pay;
- the results of the staff survey will be shared with all staff at a briefing session on 8 February and thereafter placed on the Portal for members information; **ACTION**
- work continues to support the sector and the Welsh Government, with the Real Living Wage being implemented for registered social care staff from April 2022. Positive feedback has been received from stakeholders in relation to DPs contribution to the Fair Work Forum's work around this issue;

- SMcC attended the first meeting of the technical group to take forward the Re-balancing Care and Support White Paper recommendations which includes proposals to strengthen Regional Partnership arrangements;
- the organisation's remit for the early years and childcare sector is slightly different as the workforce is not registered or regulated currently. However, work continues to support the sector as necessary;
- as part of Building a Healthier Wales, SE is chairing a task and finish group, which will focus on maximising the impact of recent government policies related to free school meals and extending the childcare offer;
- COVID recovery group meetings continue to focus on current service pressures and workforce issues with a sense of optimism that infection rates are decreasing;
- the Intensive Learning Academy (ILA) Board meets regularly and there is a focus on attracting participants beyond the NHS, which is currently proving a challenge;
- following a recent meeting, the Children's Commissioner who has been invited to attend the Board development session in February to share reflections from her term in office and some of the legacy actions which remain to be addressed;
- Albert Heaney attended the recent Professional Social Work steering group to set out his priorities as Chief Social Care Officer which mirrored those of the group, particularly in relation to workforce wellbeing and valuing the workforce;
- SE attended the ADSS Cymru Leadership group meeting on 28 January and has been invited to lead a stakeholder conversation to explore the development of a national framework for social workers in Wales. SE has consequently written to all Local Authority CEO's and Directors of Social Services to gather views before moving forward;
- SE attended the first of a series of events run by the WCVA to explore the learning from services developed by the voluntary sector and partners using Welsh Government COVID recovery funds. A report will be developed in due course which will provide an opportunity to reflect what this means for Social Care Wales.

ii. Looking forward to the agenda for the meeting, SE drew members attention to the following:

- the Strategic Plan is a culmination of months of activities with the Board and previous engagement with stakeholders and is presented for final sign off;
- the Strategic Risk register, which supplements the strategic plan, is in the new format, building on the agreed approach to risk appetite and risk management;
- in response to feedback provided by members, a range of metrics have been included within the Equality Plan since it was last seen by the Board;
- the registration requirements paper demonstrates that the organisation is listening to what the sector is saying and highlights a willingness to adapt processes where necessary and appropriate;
- the Business Plan for 2022-23 demonstrates a wide range of activities, with some ongoing proposals from 2021-22 and new areas of activity for 2022-23.

iii. The Chair thanked SE for the updates and for setting the context for the meeting and asked if there were any questions or comments. The following issues were raised:

- JM thanked SE for the comprehensive update. She thought that having a national framework for social work would be beneficial if it can be achieved and thought that it was important that a scoping exercise was to be undertaken to ensure that the discussions are based on evidence;
- Whilst understanding the delay due to COVID, JM also asked when the discussions around the registration of the early years and childcare sector would resume, given the increasing importance of this workforce. SE said that this was a question raised during her recent meeting with the Children's Commissioner. She also sees the importance of registering the workforce is registered and intends to raise the issues with the Minister;
- DP updated the Board on recent discussions with officials and noted that the registration of the workforce is a commitment within the Childcare, Play and Early Years 10-year workforce strategy for Welsh Government. The Welsh Government is currently undertaking an independent review of how registration and regulation may work and are awaiting the results of the review before taking matters further. Conversations have indicated that Welsh Government are still committed to the idea of registration and regulation, and it is hoped that discussion will begin with the sector within the next 12 months. Officers are in regular discussions with Welsh Government and continue to re-enforce the view of the organisation that registration would be a positive step forward for the workforce;
- CC commented on the new Regional Integrated Fund, which unlike its predecessor (the Integrated Care Fund) has significant matched funding requirements. He had picking up that directors of social services were becoming more candid around the risks associated with this issue, especially where the ICF was being used to maintain core services. If funding is gradually being reduced or needing match funding, then there is a further risk to what is an already a vulnerable service;
- EB was also pleased to hear the update regarding the proposals for a national framework for social workers which will inevitably be a challenging piece of work. EB also welcomed the focus on research possibilities for the profession as for her, this is a gap within career frameworks and pathways within social care. SE mentioned that a report on career pathways in health and social care is due to be published soon and once ready will be shared with the Board. **ACTION**

iv. There were no further comments or questions and Chair thanked SE for the comprehensive update which was **noted** by the Board.

7. Strategic Plan 2022-27

i. The Chair reminded the Board that members have already had a number of opportunities to shape the revised strategy and had contributed a significant amount of detailed and constructive feedback in the process.

ii. For this meeting, he hoped that the Board could concentrate on the substance and underpinning principles within the strategy rather than the detail. As such, he asked that unless it was significant or impacted on the substance, that any feedback in terms of grammar or wording be fed back to KS outside the meeting.

iii. The Chair also recognised that many people had contributed to the drafting which has impacted upon the flow of the document and the consistency of the style of writing, on that basis, once the plan had been approved by the Board, he would be seeking agreement that he and SE would ensure that the document was finessed, and quality assured prior to submission to the Deputy Minister for approval.

iv. SE introduced the report and reminded the Board that the document is a high level five -year strategic plan and that the detailed activities which support it, will be set out within the business plans which are produced on an annual basis. The strategy seeks to be bold by saying 'this is what we are trying to achieve' and 'this is how we will measure ourselves against it'. The key challenge will be understanding and identifying what the organisation has specifically contributed to any successful outcomes as a range of other organisations will be contributing to the achievement of the same outcomes.

v. SE reminded the Board that there was a public consultation on the priorities during 2020-21 and drew the Board's attention to section 1.2 in the paper which explained the outcomes focussed approach and marketing strategy which will support the delivery of the plan. She also reminded the Board that there will be other supporting strategies such as equalities and digital which will underpin this overarching strategy. Themes such as equality and diversity and Welsh language are now cross cutting themes and embedded through the strategy rather than as separate outcomes.

vi. The Chair thanked SE for the overview and asked whether members had any questions or comments they would like to raise:

- AH felt that it was a really good plan setting out the changes we expect to be able to influence over the next 5 years. She though that as a result of the engagement which had been undertaken, the plan reflected what is important to the workforce and those who use services;
- AH suggested that an infographic reflecting the size of the workforce would be a useful addition for those unaware that the workforce is bigger than that of the health service. She also suggested that a reference could be made to the continuing impact of the COVID pandemic;
- DB welcomed the cross-cutting themes but acknowledged that a lot of work was required to make that happen;
- TP thanked SE for the overview and was particularly pleased to see the way that the plan had been influenced by the discussions which had taken place at Board development sessions. He thought the plan struck an effective balance between carefully identifying what the organisation is going to do whilst recognising the constraints and limitations and explaining how success would be measured. He said that it all sounded quite simple now, but it had required a lot of work and effort to get to this point. He felt that anyone reading the document for the first time would be able to understand the methodology which had been followed. This also linked to the next agenda item on risk which shows clearly what is within the organisations control and what isn't and demonstrates consistency of approach;
- TP said that he had added a number of detailed comments on the portal in relation to language and grammar. He thought it was important that the document was quality assured and finessed to ensure that hard work which had gone in to getting the strategy to this point was not undermined.

- DH echoed previous comments and agreed with the need to keep emphasising how many people are involved in the delivering social care in Wales. She asked whether there was an outcome linked to placing the voice of the service user at the centre; it was mentioned in the introduction but didn't seem to be a specific outcome. SE said that it is the voice of the service user was a thread throughout the document and a cross cutting theme but agreed to look at strengthening that;
- JM endorsed other comments and agreed that the strategy was bold but felt that reference to the personal responsibilities of individuals to live the best life they can seems to be missing and that the strategy may be seen as slightly paternalistic if this was not mentioned. SE said that she would look to strengthen that aspect of the report as part of the empowering role of the Social Services and Wellbeing Act;
- KH also agreed with previous comments and felty that the Strategic Plan was ambitious and powerful with the eight outcomes well focussed and concise. That said, she thought that the profile of the climate emergency could be higher within the plan as significant challenges is expected on global warming within the next five years. She also wondered whether outcome three, social care practice underpinned by innovation could be expanded to encompass the principle that innovation related to global warming will be part of our focus. SE agreed to reflect further on this as part of the organisation's role to support the sector in delivering against this agenda.

vii. The Chair thanked the Board for their contributions and summarised the key points from the discussion as follows:

- there appeared to be unanimous support for the plan, in particular for the ambition and clarity within the plan and the boldness in moving towards an outcome-based approach;
- the was an opportunity to include some infographics at the start of the document to highlight key facts (such as numbers within the workforce);
- there was an understanding amongst members that the strategy was 'a living' document which would inevitably evolve over the next 5 years, particularly as the impact of the COVID pandemic has still not been fully played out;
- colleagues were pleased to see the cross-cutting approach within the strategy and to inclusion of themes such as diversity;
- members were pleased see that the level of engagement and encouraged to see the contribution of the Board within the final draft of the document;
- there was a question whether the importance of the voice of the service user needed to be brought out more clearly;
- it may be helpful to include something around people's own responsibilities for shaping their future;
- there should be a greater emphasis within the plan to reflect the growing importance of the climate change agenda and on the potential to impact to climate change through service design and innovation;
- SE had agreed to take away members contributions and to see how they could be reflected within the final quality assurance and finessing of the plan.

viii. Board Members agreed that they had **discussed** and **approved** the Strategic Plan 2022/27 and **delegated** final sign off to the Chair and the Chief Executive prior to formal approval by the Deputy Minister.

8. Strategic Risk Register

i. The Chair reminded members that the Board had been closely involved in the development of the Strategic Risk Register through previous development sessions.

ii. The Chair asked AL to provide an overview of the paper and in doing so provide a response to some questions which had been raised in writing by Peter Max who had sent apologies to today's meetings. Peter had raised two points which the Chair read out for members information as follows:

- 'Whilst I appreciate the detailed scrutiny will be via the Audit and Risk Committee, should there be greater visibility of how the Board can have assurance over the measures in place to have "effective controls in place" and therefore potentially result in lower residual likelihood and impact scores?'.
- 'Additionally, where is there clarity on when these effective controls will be in place as it appears to be an open-ended matter as opposed to a current status unless I have misunderstood how it is presented. Perhaps two key risks evidence my concern best being numbers SR-21-02-03 re Pay/Reward (residual score 12 vs 16 initial) and SR-21-05-02 Recruitment (residual score 9 vs 12 initial). How can we be confident with the reduction in residual scores at this time in these two sector critical areas?'.

iii. By way of introduction, AL said that what was presented within the papers was an overview of the new Strategic Risk Register rather than the full register. It focused specifically on the key risks identified through the work undertaken in successive development sessions and was intended to enable the Board to consider whether the key strategic risks have been captured effectively. The risks have been set out along with the corresponding risk appetite. In terms of scoring, the inherent scoring is the risk as originally perceived and the residual risk scoring is the risk which the organisation faces at any moment in time given the effectiveness of the controls which are in place. More work is going on behind the scenes to identify all the controls which are in place for the risk register as a whole, as well as highlighting areas where additional controls will be needed to mitigate those risk further in future.

iv. AL explained that the next piece of work involved putting timelines against those controls to identify how the levels of assurance can be improved over time. A target risk will also be identified (i.e., how low does the organisation want the risk to go). A proportionate and measured approach will be required to ensure that the organisation does not become over-burdened with controls and focuses on opportunities as well as risks. The Audit and Risk Committee will continue to scrutinise the detail within the register with the Board receiving periodic updates.

v. The Chair thanked AL for the overview and asked for him to pick up with Peter Max offline to ensure that he was happy that his overview of the process had addressed the questions which he had raised in advance. **ACTION**

vi. The Chair asked RWJ as Chair of the Audit and Risk Committee if there was anything she wanted to add.

vii. RWJ wanted to thank the Committee members for the contribution to getting the register to this point. It was a significant development and one that the Committee was pleased to have helped to bring about. The Chair added that during the most recent meeting of the Committee, there had been a strong endorsement from the Head if Internal Audit about the organisations approach to the development of the framework of the new risk register. The Chair asked for any questions or comments:

- SB thanked AL for leading on the developed of the new risk register and wanted to ask a detailed question around the cyber security related risk. He wondered where AL thought the organisation was in terms of this risk as it seemed to have a different score in the Quarter 3 Business Plan report compared to this risk register and therefore an explanation would be helpful.
- AL informed the Board that based on advice received, the Board should assume that the organisation will be the subject of a cyber-attack at some point and therefore in assessing the risk, the likelihood should always stay in the highest category. Whilst a lot of work has been undertaken to reduce impact there is some outstanding work to be undertaken namely the implementation of new firewalls and the imminent introduction of Multifactor Authentication (MFA) which will reduce the impact scoring from 4 to 3. The difference between the scoring in the two papers is a matter of timing in the production of the papers. An international cyber threat emerged over the Christmas period which resulted in the organisation taking some systems offline to reduce vulnerability. Patches had been put in place. However, the software provider had not resolved the issue at that stage which resulted in the increased level of risk. SB thanked AL for his helpful explanation.
- AL informed the Board that the new strategic and operational risk registers will be discussed at monthly EMT and AD meetings and will form the basis of the proposed new internal audit plan which is being developed in consultation with the newly appointed internal auditors. This will involve considerations of where the key risks are, the controls that are in place and where the main vulnerabilities are due to controls not yet being fully implemented;
- The Chair suggested that when the register returns to the Board it would be useful to know where and why there have been changes in the scoring. AL proposed that heat maps would be developed to show the spread of the risks and that the focus would be on risks that are beyond the risk appetite and those that have changed;
- CC welcomed the risk register which is a very constructive development and thanked everyone for their work. He was particularly pleased to see the link to the strategic plan which has just been discussed. His questions related to how Board members would be able to understand or assess the link between the risk appetite and the scoring.
- AL reminded the Board that the risk management policy included a matrix that provided a definition for each risk appetite and the likelihood and impact scoring, AL reflected that as Board, members only see this periodically so it might be useful to include this as an aide memoir in the appendices to future reports. CC agreed that this would be useful going forward.
- As AL had mentioned the new internal audit provision, RWJ asked about the practicalities of the handover between the current provider and the new provider and how it was going to be managed;

- AL said that a meeting with TIAA (the new internal auditors) will be set up to start the contract between now and the end of March. TIAA will attend the March Committee meeting and Deloitte as the current internal auditors will attend the first Audit Committee of 2022-23 to present any outstanding audits to ensure an effective handover of responsibilities.

vii. As there were no further questions or comments the Chair thanked everyone for contributions and brought the item to a close. In doing so, members agreed that they has **discussed** the Strategic Risk Register 2022.

9. Strategic Equality Plan 2022-2027

i. AA presented an overview of the report and reminded the Board that this was the second time they had seen the plan following the consultation process and that they were now being invited to approve the plan. AA hoped that the organisations values and purpose when it comes to equality and diversity were clear when reading the plan.

ii. AA said that all of the previous comments received from the Board had been reflected within the final version of the plan. In particular, the plan now takes a broad view of equality by looking beyond the Equality Act to socio-economic disadvantage and embedding the learning from the pandemic. The plan is now more intelligence driven and metrics have been included against each outcome or objective, with the plan being embedded strategically and operationally within the organisation. Early actions are now described within the plan supported by an annual delivery plan and annual reports. Once the Welsh Governments' Race Equality Action Plan is published, there will be actions for Social Care Wales which will need to be cross-referenced within the organisation's plan.

iii. DB wished to congratulate AA for his work on this plan which he felt was exemplar. GQ also wished to note her appreciation of the work on the plan.

iv. There were no further comments or questions and the Board agreed that they had **considered** and **approved t**he Strategic Equality Plan.

10. Registration requirement for social care workers

i. The Chair noted that there had been some earlier references to this paper with SB making reference in his Committee update. There had also been an ad-hoc meeting of the Committee on 24 January which most of the Board had attended and provided an opportunity to scrutinise the paper.

ii. The Chair emphasised that if the recommendations were supported by the Board and the consultation received a positive response, it was proposed to move immediately to implement the first of the three changes identified as this would not require any formal rule change and can be actioned by the Registrar. The Chair asked DP to provide an overview of recent discussions with stakeholders on their view of the proposed changes.

ii. DP said that he had now met with key stakeholders (Care Forum Wales, National Partnership Forum, CIW, ADSSC, Trade Unions, BASW, Welsh Government, Royal College of Nursing, WLGA) to see how the changes might be received prior to formal consultation. The feedback has been positive on the three proposed changes. The feedback could be summarised as follows:

- there was broad support for changing the registration requirements to an employer assessment model;
- the CPD changes were welcomed with a desire to move as quickly as possible to consider new models of CPD; and
- there was unanimous support for the proposed reduction in the period of grace for new workers from 12 months to 6 months before registering albeit that if agreed, the decision would; be one for CIW to implement.

iii. As Chair of the Regulation and Standards Committee, SB added that CIW were present at the discussion on 24 January. Whilst there was support for the proposal to reduce the period of grace for new workers, it would not be implemented straight away. He felt that the proposed changes were proportionate and balanced and thought that the emphasis on a shift in responsibility towards employers ensuring that their staff are skilled and have the right values to undertake their roles was appropriate.

iv. The Chair thanked DP and SB for their comments and opened up the conversation to questions or comments. The following issues were raised:

- MB welcomed the proposals given the current fragility within the sector. She felt that there was an opportunity to soften the tone of the proposals and felt that the paper focussed on public protection rather than the value of the workforce. MB was also interested in the different requirements to register across the UK nations and whether this had any effect on the care received. She asked whether the competency requirements in appendix A were being reviewed as she felt that they were currently lengthy and bureaucratic. She referred to recruiting individuals on an apprenticeship where all that was asked for was kindness as those value-based competencies are important to the families of those being cared for. MB also asked if the opportunities could be separated from the risks to emphasise the benefits that these proposed changes will bring and whether there was a timescale for re-looking at CPD and how do these requirements apply to those who are self-employed carers.
- DP responded to MB's comments and questions. He said that the report will not accompany the consultation document which will go through the organisations' tone of voice guidance review. It is intended that the consultation document will be brief but accessible and DP will reflect on MBs comments and ideas. DP has met with Cardiff University during the last couple of years in preparation for a bid to research the difference in residential childcare between England and Wales; it is hoped that they will be successful in their bid which will provide the opportunity to access meaningful data around this issue.
- DP said that the competencies in the appendix are drawn from the current system of confirmed competence and DP expects that these will change to reflect the fact that this is a process for new workers. CPD is part of the registration reform project and will be looking to bring forward ideas on that in the next 12 months.

- DP added that if they deliver services in this way, self-employed people will have to be registered and the employer must ensure that is the case. However, this does not apply to people providing support as PAs through direct payments or within micro care organisations;
- DH welcomed the detail within the paper and thought that employers would find the competency framework useful. However, she raised a concern in relation to confidence that people were receiving the training that was needed and having the time to complete the necessary training. DP said that registration requires evidence of CPD, and work has been undertaken with the National Commissioning Board to develop an understanding of how much professional development people who work in social care go through. The figures were significantly higher than what is required for regulation and the developing insight through CPD (not necessarily courses) is key which will be the focus for improving practice going forward.

v. The Chair thanked the Board for their questions and asked DP to outline the next steps if the proposals are endorsed by the Board. DP informed the Board that should the proposals be endorsed then:

- the consultation document will go live week commencing 07 February and remain open for five or six weeks;
- the intention is then to move as quickly as possible on the first of the proposals (changing the registration requirements to an employer assessment model) in preparation for the registration of adult care home workers by 01 October 2022. Changes to IT systems will be required which may cause some delay but messaging to the sector would start imminently;
- conversations will continue with CIW in relation to the period of grace for new workers before registration and both organisations will want to see what happens within the sector over the next few months;
- 45-hour CPD credit has already been given to those on the register given their learning working through the pandemic and as such, there is no urgency for this work. However, consideration will be given as to how this can be supported through new ways of interpreting and evidencing CPD.

vi. In the knowledge that the Board's endorsement would result in the above action the Chair asked if the Board were happy to endorse the proposals. The Board **endorsed** the direction of travel laid out in the paper and agreed to allow a public consultation to be launched based on the changes outlined.

11. Business Plan framework 2022-23

i. SE shared a presentation with the Board to inform the discussion on the Business Plan framework for 2022-23. In the presentation SE highlighted the following key issued:

- there are four audiences for the Business Plan (the workforce, social care and early years managers, leaders and owners; strategic leaders and stakeholders; our own workforce and organisation);
- the framework includes a plan on a page which reflects the current themes;

- for the Workforce, the carry forward programmes are extending the register, regulation reform, digital learning and wellbeing;
- for Employers the carry forward programmes are the employer support service, attraction and recruitment, workforce strategy, SCWWDP, and Mwy na Geiriau;
- for Strategic Leaders the carry forward programmes are strengths-based practice, National Leadership Development Programme, Research and Development Strategy, and Data Strategy;
- for our own organisation the carry forward programmes are digital infrastructure, organisational policies and new ways of working in the future;
- possible future Welsh Government policy support requests are likely to include transformation for children and families, Liberty Protection Safeguards, new public law training, Welsh language skills and confidence and the Rebalancing Care and Support White paper;
- other proposals that have been submitted and are in discussion include an innovation proposal, National Data Resource and research development funding in partnership with HCRW;
- the draft finance and income and budget for 2022-23 and our assumptions;
- impact measures to monitor and report progress.

ii. The Chair thanked SE for the overview and informed the Board that the Business Plan for 2022-23 will come back to the Board in April meeting for approval following further development work. The Chair asked for any thoughts or feedback on the presentation.

iii. EB also thanked SE for the insightful presentation and commented positively on the broad approach to capturing feedback which will allow those that have not previously been engaged with our work to do so.

iv. AL wanted to emphasise that subject to final approval, an additional £3.6m has been secured with the majority of that being recurrent funding which he felt was a reflection of the success of the organisation in delivery on its commitments over the last few years. Within the additional money, £600k has been secured to improve and deliver our digital strategy which will strengthen the organisation's resilience and capacity.

v. The Chair reflected on the growth within the organisation since he had been in post and the need to ensure that the organisation's infrastructure was keeping pace with a growing workforce. He had been reassured that this was happening in discussions with SE.

vi. SMcC added that the Business Plan is a cascade from the Strategic Plan. There are a number of new initiatives that the organisation may be asked to lead on, and this may change what the final plan looks like when it returns in April.

vii. There were no further questions or comments and the Board confirmed that it was happy to endorse the framework for the Business Plan 2022-23.

12. 2021/22 Business Plan Q3 Progress Report

i. KS provided an overview of the quarter three performance report, which concentrates on business plan activities that are not where they would be expected at this point

within the year. She highlighted the opportunity for Board members to scrutinise the information it contained about the organisation's delivery against the business plan at the nine-month stage. Having looked earlier in the meeting at the new Strategic Risk Register, KS reminded the Board that the risks within this paper relates to the current strategic plan.

ii. The Chair thanked KS for the overview and asked for any comments or questions on priority theme one, the social care and early years workforce. The following issues were discussed:

- CC asked about work the review of bursaries had reached and how this process may look in future given the difficulties in fully utilising the current allocation;
- SMcC informed the Board that an independent report has been commissioned to provide evidence around the challenges in relation to qualifying social work which includes the bursary as well as other potential barriers. The draft report has been received and is currently being quality assured. Informal discussions have also been held with Welsh Government officials on the implications of the findings. As expected, the report recommends moving towards parity with other professions and therefore further investment is needed in order to be able to achieve this. The report also recommends that not enough social workers are qualifying but this is likely to take a number of years to rectify as changes will be needed in the infrastructure of the sector to support a higher number of social work students. Once the report is ready it will be shared with the Deputy Minister for Social Services who is aware that this work is being undertaken. Meanwhile there are some elements that Social Care Wales can progress, and these will be built into project plans for 2022-23;
- GR added that the work to ensure access to extensions of loans for post graduate students (currently only undergraduate students have access to loans) is progressing and the changes will be implemented once legalities are resolved;
- GQ asked whether as part of the review of the Social Care Worker card, there was an opportunity to look at what the card offers in terms of helping those working in the sector to deal with the rising.
- SMcC said that work is being done to identify further benefits that can be linked with the card. Feedback has been received from the sector on what card holders would like prioritised (such as parking, driving lessons, utilities) and we are looking to see if further work can be done to incentivise independent organisations to recognise the card. Further work is also being developed to promote the card to both existing card holders and those who have yet to download;
- KS added that promoting the wealth of existing benefits will be a focus for quarter four whilst looking to relaunch the new card for the next financial year.

iii. In relation to priority theme two, Social Care and Early Years Managers, Leaders and Owners, CC wanted to understand why the figures on the top of page 129 (number of employers registered on the jobs portal and numbers of new job seekers registered on the jobs portal) was a combined figure between registered employers and job seekers.

iv. KS explained that this was due to the current system that is used to collate the numbers and re-assured work is underway to ensure that the system can separate the figures in future.

v. There were no questions or comments in relation to theme three, Social Care and Early Years Systems Leaders nor priority theme four, Our Own Workforce.

vi. The Chair asked for an update on the Workforce Strategy and longer-term implementation. SMcC reminded the Board that there was an initial six-month plan for 2020-21, followed by a one-year delivery plan for this 2021-22. The intention was that a further one-year delivery plan would be developed for 2022-23 whilst co-producing a medium-term implementation plan during the year. There are some actions and areas that have progressed but there is a need for a further review to ensure that there are plans in place to take all of the actions forward. It is hoped that an event will be held in in the Spring to begin the co-production of the medium-term plan with the wider sector.

vii. The Chair asked GR to provide an overview of the budget report. GR introduced the report and highlighted that income was currently £60K more than projected due to registration fee income being higher than anticipated and a higher number of debtors wanting to remain on the Register than expected.

viii. GR provided an overview of current expenditure and highlighted an expected total underspend of £490k. The grants budget was currently £125k underspent for reasons which had already been discussed relating to the take up of bursaries. Additional money has therefore been made available to the sector via the Regional Facilitation Grant.

viii. The Workforce Regulation budget is significantly underspent. Hearing's activity is lower than predicted with 50 final hearing projected to be held. Efficiencies have also been realised through streamlining of hearings and removals by agreement. This budget is expected to be £600k underspent by the end of the year.

ix. The Improvement and Development budget is also underspent due to difficulty in recruiting which has affected the salaries budget. There is a temporary underspend in projects, but additional money has been allocated to the We Care campaign which will result in a projected overspend of £184k overall.

x. The Early Years budget is expected to be in line with the projected budget at the end of the year.

xi. Within the Strategy and Business Support budget, there has been further difficulty in recruitment with the salaries budget projecting a £265k underspend at year end.

xii. With income expected to be £56k more than budgeted and expenditure £642k underspent there is a projected a net underspend of around £700k. The 2% cash carry over allows for an underspend of £350k and therefore permission has been requested from Welsh Government to make a lump sum payment into the pension scheme to help with future budgetary pressures. If approval is gained from the policy division, then the 2% cash carry forward will be met.

xiii. The Chair thanked GR for the updated and asked if there were any questions or comments and the following were raised:

- EB asked whether Welsh Government had expressed any concerns around underspends across the last few years. GR confirmed that there hadn't been questions about underspends and that the organisation is in a similar position to many other public bodies due to difficulties in recruitment and fragility in the sector which has meant that limited opportunities for engagement and had an effect on project work being completed;
- AL added that this was discussed with the Finance Team at the Welsh Government earlier in the week who understood that for any organisation to come within 2% of their allocated budget represented good financial management. There was also a recognition of the value of being able to manage longer term projects across financial years. Going forward proposals for a three-year budget settlement will allow for better planning although there will still be uncertainties as the organisation's bids for new monies and tackles emerging funding and cost pressures. For that reason, as part of the organisation's financial strategy, the 2% cash carry forward will be part of the organisation's contingency and provide a reserve, as any business should. Welsh Government were comfortable with the approach outlined and saw benefits in taking a prudent approach;
- The Chair asked what process is used to determine structural shifts in the allocations of funding; for example, is a change in the expenditure hearings budget a structural issue and by what process would that be identified and money moved;
- AL explained that for hearings there is a projection of anticipated hearings as the register is growing and the FtP review project is looking at refining the methodology for this as the number of hearings has not grown as expected. However, it is unclear whether this is due to the pandemic or not. Discussions have also taken place around the Employer Support Service and whether that will lead to more FtP issues being resolved by the employer or a higher number of referrals as employers will be more aware of when they should be referring cases. He also said that previous forecasted underspends had been well utilised, with more money going to support the sector, additional payments to students and to the We Care campaign. The Leadership Team was focusing on ways to enable better prediction of potential underspends so that plans can be developed and brought to fruition sooner. If recruitment is slow, there is likely to be underspend on staffing and projects will be difficult to deliver if the sector does not have the capacity to collaborate on activities.

xiv. There were no further questions or comments on the finance update and so the Chair asked RJ to provide an overview of the HR update. RJ highlighted the following, in addition to what was in the dashboard included within the paper: -

- The Hybrid Working Policy has been out for consultation and has been well received by staff. It is hoped that the policy can be approved by the Leadership team by the end of February. A copy of the policy will be shared with the Remuneration Committee at its March meeting;
- The recent people survey result gained an 86% response rate and a 90% engagement score.
- The final results from the civil service benchmarking are awaited for comparison. It was noted that it will be challenging in future to maintain those scores. More details of the outcome of survey will be shared with the Remuneration Committee.

xv. The Chair reflected on the recent listening exercise undertaken by the Board which also found clear evidence a positive culture, high morale and a genuine focus on the wellbeing of the workforce, all of which is the reflected in the survey results. The Chair asked for any comments or questions:

- EB reflected on participating in similar staff surveys within the private sector and recognised how positive these results were. She felt that it was important to understand what factors resulted in these high scores;
- SE added that the results reflect a genuine focus on staff health and wellbeing and pride in the way the organisation's lived up to its values. There is an active Health and Wellbeing Group supporting cross organisational activities as well as a focus on enabling line managers to support their staff;
- DB added that during the Board listening exercise, staff had told her that they were encouraging others to come and work for the organisation which should be celebrated.

xvi. The Chair thanked members for their questions and comments and officers for their responses. Members agreed that they had **scrutinised** and **approved** the progress against the Business Plan 2020-21 at the nine-month stage.

13. Meeting effectiveness

i. Members had been asked to contribute their observations to a Jamboard as the meeting progressed in order that the effectiveness of the meeting could be evaluated.

ii. Three questions were asked, as follows: -

(i) Is there anything you would have liked to focus more on in this meeting?
(ii) Is there anything that you think we should have focused less on at this meeting?
(iii) Do you feel there was sufficient challenge in the meeting?

iii. In summary, the comments on the Jamboard suggested that the balance of the meeting was about right in terms of focus and timings. It was also recognised that a number of items on the agenda had been developed with the active contribution of the Board and seen previously in earlier versions and had already been through challenge and scrutiny through the development process.

iv. The Chair noted that there were not as many comments as usual and asked whether members felt that providing feedback through the Jamboards was still an effective way of capturing feedback. TP felt that the Board should persevere with the Jamboard and that the lack of comments today was reflective of the fact that a significant number of the paper had been seen already by the Board. EB said that she liked the Jamboard but sometimes struggled to access it due to timings

v. Following feedback, the Chair therefore decided to continue with the Jamboard but allow a five-minute break before the agenda item to allow members to gather their thoughts and add comments to the Jamboard before reviewing. **ACTION**

14. **Any Other Business**

i. The Chair highlighted the fact that was last time that RWJ and KH would be attending a public Board meeting before their terms of appointment finished at the end of March. He paid tribute to the outstanding contribution which both had made to the development of Social Care Wales as an organisation and to the Board itself over many years. Both were highly valued and influential members of the Board who are widely respected and appreciated by colleagues. He said that they would leave a big gap as they leave as their knowledge and experience will be difficult to replace.

ii. Coming from the Care Council onto the new Board in 2017 they had ensured a continued understanding of the organisation and the sector. RWJ has been influential in establishing the Corporate Governance arrangements as Chair of the Audit and Risk Committee and KH's experience around education has been invaluable to the Board as well as wider issues such as climate change. He wished them both well in whatever they decided to do in the future

iii. SE also added a thank you to both RWJ and KH from Officers and reflected on personal memories by members of staff.

iii. There were no further comments or questions, and, on that basis, the Chair thanked everyone for their contributions and declared the meeting closed.

Date of Next Meeting:

Thursday 28 April 2022

Actions

Number	Item	Action	Who
01/22/SCW	Item 6 - Context Setting and Key Messages from the Chief Executive	Results of staff survey to be shared on the portal following staff briefing	Llinos Bradbury
02/22/SCW	Item 6 - Context Setting and Key Messages from the Chief Executive	Share the 'Making Research Careers Work' report when published	Llinos Bradbury
03/22/SCW	Item 8 – Strategic Risk Register	AL to pick up with Peter Max offline that the overview of the process had addressed the questions which he had raised in advance.	Andrew Lycett

04/22/SCW	Item 13 – Meeting Effectiveness	Add a five-minute break before this item in future to allow time for reflection and to add comments to the Jamboard	Llinos Bradbury

Social Care Wales Board meeting actions

Rolling action Log 2022-23

Action number	Meeting date	Item	Action required	Action by	Target date	Outcome / update	Current status	Date completed
01/22/SCW	03.02.22	Item 6 - Context Setting and Key Messages from the Chief Executive	Results of staff survey to be shared on the portal following staff briefing	Llinos Bradbury	February 2022	Results shared on the portal on 21 February, also discussed at 3 March Remuneration Committee meeting	Closed	21.02.22
02/22/SCW	03.02.22	Item 6 - Context Setting and Key Messages from the Chief Executive	Share the 'Making Research Careers Work' report when published	Llinos Bradbury	February 2022	Report 'Making research careers work' shared with the Board.	Closed	04.02.22
03/22/SCW	03.02.22	Item 8 – Strategic Risk Register	AL to pick up with Peter Max offline that the overview of the process had addressed the questions which he had raised in advance.	Andrew Lycett	February 2022	Andrew Lycett has offered follow up conversation with Peter Max on the Risk Register.	Closed	April 2022
04/22/SCW	03.02.22	Item 13 – Meeting Effectiveness	Add a five-minute break before this item in future to allow time for reflection and to	Llinos Bradbury	Next meeting & ongoing	Five-minute break added onto April meeting agenda and going forward	Closed	28.04.22

			add comments to the Jamboard					
03/21/SCW	29.04.21	Item 6 - Context setting and key messages from the Chief Executive and Directors	Discuss further the engagement work of Social Care Wales and how to better engage with the RPBs and explore the benefits of a stronger partnership.	Mick Giannasi & Sue Evans	2022-23	We agreed to use the Strategic Plan as the focus for RPB dialogue in 22/23, and once membership of the RPBs in known following the Local Government Elections in May 2022. There may be further discussion when we see the Welsh Government response from the White Paper consultation.	Open	
05/21/SCW	29.04.21	Item 10 - Information Security Management System update	CCG to develop proposals in the short, medium, and long term to discuss further at a future Board development day as a supplement to the strengthening governance programme of work.	Members of the Chairs Coordinating Group	June 2022	Sue Evans has had an initial discussion with an individual from the NHS to join Audit and Risk as a co-opted member, the individual may apply for upcoming Board vacancies and will need to wait for the outcome of that before proceeding further.	Open	

						The Board received Cyber Security training based on the National Cyber Security Centre Board toolkit in October, the Board could ask the individual delivering the training to provide advice to the Board going forward in relation to cyber security.		

Gofal Cymdeithasol Cymru
Social Care Wales

CYFARFOD / MEETING	**Board meeting**				
	PREIFAT / PRIVATE		**CYHOEDDUS / PUBLIC**		
	☐		☒		
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA AGENDA ITEM	**7**				
TEITL / TITLE SCW/22/10	**Draft Business Plan 2022/23**				
AWDUR / AUTHOR	Sue Evans, Chief Executive				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Leadership team Rhian Jones, Strategy and Performance Senior Officer				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1: Draft Business Plan 2022/23				
GWEITHGAREDD CYNLLUN BUSNES/ BUSINES PLAN ACTIVITY	The Business Plan 2022/23 provides the focus, detail and financial allocations for our work in 2022/23. This is the basis on which we will be reporting on our progress for scrutiny by the Board and Welsh Government on a quarterly basis during the year.				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	☒	☐	☐	☒	☐
ARGYMHELLIAD / RECOMMENDATION	Board are asked to **discuss** and **approve** the draft Business Plan for 2022/23 (subject to any amendments following discussions at the Board). Board are asked to **delegate** final approval to the Chief Executive and Chair on receipt of the Remit Letter (subject to no major amendments).				
PRIF BWYNTIAU; MATERION ALLWEDDOL I	This is our first annual business plan following the publication of our 5-year strategy 2022/27. Our Strategic Plan sets out our ambition and the differences and changes we want to see.				

DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED **MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER**	These changes are national outcomes which are dependent on the hard work of many organisations, each with their own remit and responsibilities. But we need to be clear on what we can contribute to, which bring about the outcomes or changes we all wish to see. We have set out our work in the Business Plan 22/23 using the relevant national outcomes, what it means for the sector during 22/23, who we will work with during the year to do this work and what we will be doing during the year through the lens of our stakeholders: 1. empower the workforce to achieve the best person centred care 2. enhance the provision of services through managers, leaders and owners 3. enable strategic leaders with evidence and skills to improve planning, service development and quality 4. ensuring continuous improvement and transformation of how we deliver the work of Social Care Wales The draft Business Plan provides an overview on what our focus will be in 2022/23 but we recognise the Business Plan is a dynamic document which will adapt to the ever-changing situation during the course of the year. Any changes to the Business Plan during the course of the year will be subject to in-year review by the Executive Management Team and reported through to Board. A final bilingual version of the Business Plan 2022/23 will be submitted to the Deputy Minister following receipt of the Remit Letter for formal approval in line with our Model Governance framework.
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	For specific pieces of work there will be separate impact assessments to support our approach.

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Social Care **Wales**

Supporting social care and early years in Wales: Our Business Plan 2022 – 2023

Noddir gan **Lywodraeth Cym**
Sponsored by **Welsh Governme**

Contents – page numbers to be added on final draft

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Priority theme 3: for strategic leaders and stakeholders

Priority theme 4: for the Social Care Wales workforce

How we work

Our corporate governance arrangements

Our financial allocations 2022/23

Annex A: Business plan activities

Draft

Context

A strong social care and early years system in Wales can reduce the impact of disadvantage of poverty, neglect, illness, disability, race or other protected characteristics. These disadvantages often lead to health inequalities and poorer prospects for children reaching their potential or for adults achieving a fulfilled life. Such inequalities have been starkly exposed by the Covid pandemic.

Social care workers play a vital role in caring for adults, children, their families and carers in our communities. Social care workers help people live the lives they want, supporting people to develop, remain active and independent, stay safe and well connected to their community and wider networks. Early years workers help give our children a great start in life and provide valuable support for parents. They do this alongside family, friends, volunteers and other public services.

In line with the Programme for Government 2021 - 2026[1] we will need to transform care services to ensure they provide efficient ways of supporting people. In a profession where human contact is so important, the pandemic has reinforced how important it is to be able to work and communicate as effectively virtually as it is face-to-face. To make this possible, we need a joined-up approach to transformation across health, social care and other person-centred public services.

The skills and dedication of our social care workforce, in a crisis and at any other time, deserves fair reward that reflects the crucial part they play in the well-being of people and our communities. This is something recognised by the Welsh Government through the Social Care Fair Work Forum. As well as revisiting the issue of fair reward for social care workers, it will be important, as we recover from the pandemic, to consider investment and innovation in new ways of providing care and support.

At Social Care Wales, we will continue to do all we can for the workforce, their employers, and strategic leaders during this difficult time and help them to continue to focus on caring for and supporting some of the most vulnerable people in our communities. We are the national leadership organisation in Wales for social care workforce regulation, supporting service improvement through research and data, and delivering workforce development for the social care and early years sectors. Everything we do is focused on making a positive difference for high quality care and support in Wales.

During this year we will build on our work with the sector and the evidence we have gathered, especially during the pandemic to inform our response. We will continue to carry out our regulatory responsibilities fairly and proportionally, whilst continuing to adapt and improve our work in this area. More broadly, we will focus on workforce well-being, develop the workforce, provide support for those delivering services and build on a stronger role for research and evidence. The provision of social care and early years services will continue to change, due to the impact of pandemic and the needs of communities. We will continue to listen to the workforce, employers and strategic leaders to recognise these challenges and opportunities and what we can

[1] Programme for Government 2021 - 2026, Welsh Government, June 2021

Draft

do to support the sector to recover and stabilise for the short, medium and longer term.

As a national leadership organisation, working with others is central to how we operate, and partnership will be at the heart of the delivery of this business plan. We want to continue to ensure people and stakeholders are involved across our work. This will include having meaningful conversations with the people affected by our work, finding out what matters to them, and reflecting their views before decisions are reached.

These will be difficult times which will continue to challenge our social care and early years sector. We have built up strong partnerships over the last few years which helps us to work together with the workforce, for the workforce to deal with this situation together as we move to the next phase towards recovery and sustainability.

It is important that that we show our values in the way we work with people to realise our vision. Our core principles which shape the way we work remain, but our approaches continue to be adapted to reflect and respond to the ever-changing context, listening and responding to feedback.

We have seen a fundamental shift in our understanding of how inequality, discrimination and exclusion are in-built into our world. Our business plan is clear and unambiguous in its ambition to respond to that new understanding. A strong social care and early years system in Wales ensures that we are able to reduce the impact of disadvantage of poverty, neglect, illness, disability, race or other protected characteristics. You can find out more on what we are doing to address some of these issues within our Strategic Equality Plan (link).

Draft

Our work in 2022/23 to support social care and early years in Wales

Foundation of our work

Our work continues to build on the legislative framework and ethos of the Regulation and Inspection of Social Care (Wales) Act 2016 and the Social Services and Wellbeing (Wales) Act 2014.

As a national public service organisation, we know that we work within and across public, private and third sector organisations across Wales. We have developed a new Strategic Plan which focuses on what difference and change we want over the next five years (insert link to Strategic Plan). This business plan contains more detail on the activities we will be taking forward during this year within the context of our new Strategic Plan.

At our core we will continue to:

- set standards for the care and support workforce, making them accountable for their work
- develop the social care and early years workforce so they have the knowledge, skills to protect, empower and support children and adults
- work with others to improve services
- set priorities for research and data to get evidence of what works well
- share good practice with the workforce, managers and strategic leaders
- provide information for the public and organisations.

Our approach for 2022/23

This is our first annual business plan following the publication of our 5-year strategy 2022/27. Our Strategic Plan sets out our ambition and the differences and changes we want to see. These changes are national outcomes which are dependent on the hard work of many organisations, each with their own remit and responsibilities. But we need to be clear on what we can contribute to, which bring about the outcomes or changes we all wish to see.

We have set out our ambition using the relevant national outcomes, what it means for the sector during 22/23, who we will work with during the year to do this work and what we will be doing during the year through the lens of our stakeholders:

1. empower the **workforce** to achieve the best person-centred care
2. enhance the provision of services through **managers, leaders and owners**
3. enable **strategic leaders** with evidence and skills to improve planning, service development and quality
4. ensuring continuous improvement and transformation of how we deliver the **work of Social Care Wales**

Draft

The following pages provides an overview on what our focus will be in 2022/23 but we recognise the Business Plan is a dynamic document which will adapt to the ever-changing situation during the course of the year.

Annex A sets out in more detail our activities. This takes into account our Remit Letter's strategic objectives and the Grant-in-Aid funding which was received on (Insert date) from the Deputy Minister for Health and Social Services.
We are held to account and scrutinised on our delivery and progress on these activities by the Board of Social Care Wales and Welsh Government.

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Priority theme 1: for the social care and early years workforce

What is our ambition? Our outcomes

- Improved well-being for the social care and early years workforce
- A social care and early years workforce that is highly recognised and valued
- A registered workforce that has the public's confidence
- A social care and early years workforce that is suitably qualified, knowledgeable and skilled with the right values, behaviours and practice
- Social care services that embed and deliver strengths-based approaches to care and support

What does this mean for the sector in 22/23?

Through our work with the workforce, we will maintain our approach to professional registration, based around the standards within the Code of Professional Practice for Social Care. We will continue to extend the register to new groups of social care workers, including adult care home workers.

Through the implementation of the Workforce Strategy[2] we will build the momentum of digital learning and development of resources for social care workers and early years workers to enable continuous learning. Working innovatively and using evidence, we will share practice that the workforce can use to help adults, children and their families to live the lives that matter to them.

Who will we work with to deliver this ambition?

We will work with current and future registered people; Care Inspectorate Wales (CIW); Unions; Social Care Wellbeing network; City & Guilds and WJEC Consortium ; Universities, Further Education and learning providers; Health and Social Care Research Wales; Health Education Improvement Wales (HEIW), people who access care and support; Early years network, CWLWM partners, Digital Communities Wales, Welsh Government, National Independent Safeguarding Board.

In priority theme 1 we will:

- Continue to **regulate the social care workforce**, using the Code of Professional Practice, practice guidance and a range of resources to assist those working in the sector. We will fulfil our statutory responsibilities and ensure that we maintain an accurate and transparent register of workers for the public and the sector.

- Continue to **open the register for adult care home workers, residential family centre workers and new managers** of services beyond those already registered. We will work with Care Inspectorate Wales and the sector to promote registration, requirements and to clearly articulate its benefits.

[2] 'A healthier Wales: our workforce strategy for health and social care, HEIW and Social Care Wales, October 2020

Draft

- Deliver our **fitness to practice duties** fairly and efficiently, offering the public reassurance about the registered workforce in a transparent and timely way.

- Continue to support the Welsh Government in its ambitions to further **professionalise the early years workforce**.

- Provide **financial support for training and development** across the sector in Wales. We aim to ensure 100% of eligible social work students will receive a bursary. We will continue to provide advice and guidance on qualifications and apprenticeships.

- Continue to manage the process for **issuing Apprenticeship Certificates**, through the Apprenticeship Certification Wales (ACW), to help check evidence to make sure it meets the required standards.

- Continue to provide the **digital Care Worker Card** to offer recognition to the social care and early years workforce. We will ensure the card is available to all, including early years' workers. Alongside we will work with commercial and public sector bodies to maximise the benefits available to card holders and promote those benefits across our digital platforms.

- Develop a **new Social Work PQ framework**

- We will be developing **digital learning resources** during the year to support the workforce on:

    - All Wales Induction frameworks: Early years; Health and social care
    - Outcome focused practice
    - Wellbeing
    - Restrictive Practice SC and EYCC
    - Development/redesign of Welsh language resources

- The health and social care workforce strategy clearly identified that valuing the workforce and particularly the **health and wellbeing of the workforce** was critical if we were to create a sustainable workforce capable of delivering care and support services. The specific strands of this work are:

    - Building resilience and wellbeing through peer support
    - Introduce a Health and Wellbeing Framework for the social care workforce
    - Delivery of Resilience training for managers

- We will **support the early years sector** prioritising staff attraction, recognition recruitment and retention and focusing with our partners on enabling and strengthening systems and overall approaches that support those undertaking qualifications and induction, whilst supporting and encouraging digital literacy. We will identify and develop resources to support settings.

- Implement **safeguarding learning**

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- **Scope and develop workforce surveys** to provide data and insights to inform future initiatives to support the workforce

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Priority theme 2: for social care and early years managers, leaders and owners

What is our ambition? Our outcomes

- Improved well-being for the social care and early years workforce
- A social care and early years workforce that is highly recognised and valued
- A registered workforce that has the public's confidence
- A social care and early years workforce that is suitably qualified, knowledgeable and skilled with the right values, behaviours and practice
- Social care and early years services that attract, recruit and retain people with the right values to meet the needs of those who need care and support
- Social care services that embed and deliver strengths-based approaches to care and support

What does this mean for the sector in 22/23?

Intelligence generated through developing the Workforce Strategy indicated the challenges facing the sector: recovering from the pandemic will only serve to have accentuated these challenges. Strong and robust leadership and management is critical, and we are committed to exploring the actions in the strategy to support operational leaders and managers.

Several key initiatives are underway, and the next year will see us building on those, including the attraction, recruitment and retention framework for social care and early years. The framework aims to bring consistency to the work carried out across Wales to attracting recruiting and retaining the workforce.

Significant work has been undertaken in the last couple of years in collaboration to develop a fit-for-purpose suite of qualifications and apprenticeship frameworks. We will continue to help the sector with implementing qualifications at all levels including induction and assessment.

The Social Care Wales Workforce Development Programme (SCWWDP) provides investment to support the development of the social care workforce. In partnership with the sector, we will also implement new workforce plans for the direct care workforce, mental health workforce and social work.

Key to the future of Social Care Wales is working more closely with employers to support them in delivering better care and support. Employers of the social care workforce are integral to deliver Social Care Wales's objectives and strategic plan. A new team will be created to strengthen partnerships between us and employers to further public protection, enable the workforce, support improvement, share intelligence and insight.

Who will we work with to deliver this ambition?

Key partners we will work with to deliver our work with this year include social care and early years employers, Registered Managers, Care Inspectorate Wales, CWLWM partners, ADSS Cymru, Responsible Individuals and their networks, other

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regulatory organisations across Wales and the UK, National Provider Forum, SCWWDP regional partnerships, learning providers, Early years leaders/managers, Trade Unions, Welsh Government, Careers Wales, Qualifications Wales, Awarding bodies.

In priority theme 2 we will:

- Continue to **implement Regulation reform** (include refining our offer to registered professionals; reformed fitness to practice procedures)

- Continue to **regulate social work training in Wales**, at both undergraduate and postgraduate levels. We will work flexibly with Higher Education to ensure the continued availability of high-quality social work graduates for Wales. We will respond to the impact of Covid on current students and any impact that the pandemic may have on future recruitment onto courses.

- Continue our significant role providing expert advice and maintaining **qualification, induction and apprenticeship frameworks** across the social care and early years sector including in partnership a light touch review of vocational qualifications in health, social care and early years and childcare.

- Drive the **strategic prioritisation of embedding strengths-based practice** in social care with a range of activities including peer learning networks, training, resources and a national learning event at the end of the year to share outcomes focused approaches in adult services. We will support a cultural shift across health and social care by piloting a strategic programme in balancing rights and responsibilities, which will be tested and evaluated with multidisciplinary team/s. We will evaluate and learn from this programme to consider how the offer could be delivered in other areas of Wales.

- Continue to provide significant funds to the sector for training and development, through management and administration of the **Social Care Wales Workforce Development Programme (SCWWDP),** ensuring it can respond to the changing needs of the sector during the year and beyond. Six monthly and year end reports will be produced to ensure money is used to respond positively to the opportunities and challenges for the sector.

- We will continue to work with employers and key stakeholders to **develop positive bilingual workplace cultures**. Working with the National Centre for learning Welsh to develop social care specific Welsh language courses. We will be working with strategic leaders and partners to support delivery of the Active Offer and More than Just Words principles.

- We will continue to deliver on **an attraction, recruitment, retention framework for social care, early years and childcare**. The framework will focus on values-based practice, build on the successful WeCare Wales campaign and WeCare Wales ambassadors. We will continue to roll-out a national training programme on an introduction to social care. The aim of the framework is to support consistency to the work carried out across Wales in regard to attracting recruiting and retaining the workforce.

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- Develop an **Employer Support Service** will enable the opportunity to improve this relationship to enable all parties to work together to ensure public protection, support the workforce, ensure improvement, share intelligence and insight.

- We will **prioritise high-impact elements of the sector's Workforce Strategy**, developed jointly with HEIW. We will implement workforce strategies for the direct care workforce, mental health workforce, and Social Work

- Develop and support the delivery of a **learning and development framework** to support the implementation of the new Liberty Protection Standards that will replace the existing Deprivation of Liberty Standards.

- Hold the **Accolades 2022** to recognise, celebrate and share notable work in social care and childcare, play and early years in Wales and prepare for **Accolades 2023**.

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Priority theme 3: for strategic leaders and stakeholders

What is our ambition? Our outcomes

- Improved well-being for the social care and early years workforce
- A social care and early years workforce that is highly recognised and valued
- Social care practice and policy that is underpinned by innovation, high-quality research, data and other forms of evidence[3]
- A registered workforce that has the public's confidence
- A social care and early years workforce that is suitably qualified, knowledgeable and skilled with the right values, behaviours and practice
- Social care and early years services that attract, recruit and retain people with the right values to meet the needs of those who need care and support
- Social care services that embed and deliver strengths-based approaches to care and support
- Social Care Wales provides effective, high quality and sustainable services.

Throughout the year we will continue to play an active role in contributing to the delivery of the Welsh Government's Programme for Government, national forums, policy drivers and direction.

What does this mean for the sector in 22/23?

As a national leadership organisation, we will continue to work with leaders and decision makers from across the social care, early years and wider public service in Wales, UK and internationally. We will be a positive 'disruptor' with ambitions to make improvements, actively influencing and coordinating across national organisations, bringing alignment and clarity. We will provide insights, evidence and tools that shape improvement activities and support decision making to improve outcomes for people.

The ambition of the Workforce Strategy is to make sure that, by 2030, we have the right number of engaged, motivated and valued people, including volunteers and carers, able to deliver flexible and responsive health and social care that meets the needs of the people of Wales. Among the issues that mattered most to leaders is to have a well-aligned seamless service between health and social care. During the year we will continue to work in partnership across the social care and health system to outline what is needed, outside of what has already begun, if we want this ambition to be realised.

Key to delivering sustained improvement and change is effective and collective strategic leadership across the statutory, independent and voluntary sectors in Wales. We will work across Wales to support transformation, often acting as a critical, but supportive, friend to those responsible for strategic decisions. We will work to provide good evidence to underpin change. This evidence will be from formal

[3] By evidence-informed practice, we mean that decisions about how to provide care and support are informed by an understanding of the best available evidence about what is effective – drawing from research and data, the wisdom and experience of practitioners and the wisdom, experience and views of people who use care and support and their carers

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research, data and intelligence, as well as from the wisdom and experiences of the workforce, people, children and their families who use social care services. It will also include the data that we hold, from our Register and from other data sources in the data portal, to support improvement across the services that children and adults receive in Wales.

The priorities from our shared Social Care Research and Development Strategy 2018/23 gives us a unique opportunity to help improve well-being by applying evidence-based policy, practice and service models that have a focus on prevention and early intervention. During the year, we will continue to develop the capabilities and connections of people delivering care and support in Wales to access and make use of high-quality evidence and knowledge to improve outcomes for all.

Who will we work with to deliver this ambition?

Key collaborators for this plan are: HEIW, Welsh Government, Health and Care Research Wales, ADSS Cymru, WCVA, CWLWM partners, AWARE network, Care Forum, Workforce Managers, Wales Centre for Public Policy, Public Health Wales, Improvement Cymru, CIW, local authorities, independent and third sector providers, policymakers and researchers, Health Technology Wales, the Life Sciences Hub, Bevan Commission, Regional Partnership Boards, Children's Commissioner, Older People's Commissioner, Welsh Language Commissioner, Future Generations Commissioner and Audit Wales.

In priority theme 3 we will:

- Work in partnership with HEIW to **develop implementation plans to support the strategic direction of the joint health and social care workforce strategy**. Continue to provide leadership and support implementation of workforce strategy (inc. fair work)

- Provide and enhance our data offer to inform the design, development and delivery of services through developing our **data discovery platform** for social care in Wales.

- Oversee and enable the implementation of the **Social Care Research and Development Strategy 2018-23** in its final year and co-produce the next version of the strategy with stakeholders across social care and research in Wales. The strategy provides the direction for our work to support the use of data and evidence.

- **Deliver & further develop national leadership programmes** e.g., scoping of cross sector learning, responding to Welsh Government initiatives LGBTQ+

- **Enhance our insights on the social care workforce** by developing and enhancing our approach to how we collect, analyse and bring together information and data about people working in social care in Wales. Where possible, we will collaborate with partners to minimise how much data care providers and professionals need to share.

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- We will use research to **inform our approach for supporting innovation** in social care with social care leaders and practitioners.

- Support the social care sector by providing essential resources to meet the needs of the sector and to support them in practicing compassionate and **collective leadership** through learning, national programmes, and peer network support

- Support the **use of evidence** in strategic planning and service design by developing the **skills, capabilities and networks of those using, delivering and researching care and support in Wales**, to enable them to access and make use of high-quality evidence and knowledge. We will set out a clear programme based on our **evidence offer**.

- **Co-design and oversee the data strategy implementation plan,** setting out milestones and actions to support the vision from the Statement of Strategic Intent to improve how social care data is collected and used to benefit people needing care and support in Wales.

- Work with the **Community Resourcefulness** Partnership to share good practice knowledge, practice and replicated across Wales evolving into a community of practice.

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Priority theme 4: Our organisation

What is our ambition? Our outcomes

We provide effective, high quality and sustainable services.

We're committed to:

- being a truly bilingual organisation
- valuing diversity and improving opportunity for all
- involving the people of Wales in how we work
- listening and responding to feedback
- setting high standards of customer service
- reducing our carbon footprint in how we work
- publishing and accessing information
- improving our own performance.

As a national leadership organisation how we work will reflect the values, behaviours and culture of an effective One Welsh Public Service organisation[4]. Living these values means being autonomous yet accountable, being both brave and bold and creating a culture that is open and transparent where people achieve their potential.

What does this mean for the sector and our staff in 22/23?

To be an effective organisation, we must understand and help to meet the challenges and opportunities faced by the people who work in the social care and early years sectors. As we begin to emerge from the biggest public health emergency of recent years, we recognise that our offer to the users of our services must change. We will work with our users to make sure our services meet their changing needs. We will use feedback to challenge and shape our business, projects and strategies.

We will create an environment where our people feel supported. Our staff will have space to try out new ideas that speak to our values. Staff will feel comfortable to challenge the status quo and not do things because ‘that is the way we have always’ done things. Our culture will be seen in everything that we do. We will empower our people to thrive at work, retaining and building a talented workforce to meet our business needs.

Who will we work with to deliver this ambition?

Welsh Government, the workforce, managers, leaders, owners, strategic leaders and stakeholders, Trade Unions, Wales Co-operative Centre, Digital Communities Wales, CIW, Government Digital Service, Digital and Innovation for Health and Social Services, Welsh Government Sponsored Bodies, UK Healthcare Regulators, Academi Wales.

[4] One Welsh public service, Academi Wales, March 2019

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In priority theme 4 we will:

- Publish our **5-year strategic plan** for 22-27 and implement processes to measure our impact. We will publish our **annual business plan** in July. This will show what we are doing during the year to meet the requirements set out by Welsh Government Ministers through our annual Remit Letter. We will also publish our five-year **Strategic Equality Plan**

- Launch and deliver our new **marketing and communications strategy** reflecting the lessons and impact of Covid and supporting the achievement of business plan commitments.

- Continue to revise and **implement our ICT strategy**. We will continue to make sure that our information technology remains effective in supporting our people to do their jobs.

- Launch and deliver the first-year actions of our new **learning and training strategy**. We will also embed the requirements of the Welsh Government's Race Equality Action plan into our people policies. We will embrace the Disability Confident scheme.

- Implement our digital strategy to take forward a **transformation programme of our digital services,** using external expertise, and in partnership with others, we will work at pace to deliver our services externally and internally digitally. We will research the digital competency and capability of our audiences and develop solutions that meet their needs.

- **Develop and implement our Welsh language strategy** to support the Welsh Government's 2050 Vision and Cymraeg: Mae'n Perthyn i ni gyd

- Ensure **effective financial and governance controls and systems**. We will lay our accounts by August, aim to have 80% of internal audit achieve a substantial rating and achieve a 2% cash balance achieved at the end of the financial year, with a 4% balance monthly.

- Ensure strong governance and accountability arrangements through effective **Board and Committees**. This will mean Board and Committees are making all the decisions delegated to them, Board members continue their development using scheduled board development sessions and 100% of meetings held in line with Standing Financial Instructions and Scheme of Delegation.

- Maintain **organisational compliance with statutory organisational requirements** so that no compliance notices are received from relevant compliance regulators.

- Develop and maintain current **business operations** whilst setting out future ways of working which takes into account learning and what works for our customers.

- **Improve our organisational resilience** against cyber and future disruption.

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How we work

Our Values

It is important that, as a public leadership organisation, we demonstrate our values in the way we work with people to realise our vision.

Respect everyone: we see people as individuals and treat everyone with dignity and respect
Professional approach: we act responsibly and in the right way, holding each other to account
Always learning: we believe in improving ourselves and supporting others to be the best that they can be
Involve people: we encourage and enable everyone to work together

Given the situation we all find ourselves in, our focus is to help frontline workers, managers, owners and strategic leaders to focus on supporting the recovery of the sector.

The principles which shape the way we work remain, but our approaches continue to be adapted to reflect and respond to the ever-changing context, listening and responding to feedback:

Our corporate governance arrangements

"Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved"[5]

We have a Board of Members comprising of people from interests across the social care and wider Welsh population. Members are appointed by the Deputy Minister for Health and Social Services. As at 1 April 2022 we have 12 Board Members with Mick Giannasi, a layperson, as the Chair. The Social Care Board Members are:

Mick Giannasi (Chair)	Jane Moore
Abigail Harris	Joanne Kember
Carl Cooper	Maria Battle
Damian Bridgeman	Peter Max
Donna Hutton	Trystan Pritchard
Emma Britton	Simon Burch
Grace Quantock	

Further information on the background of Board Members can be found on these pages of our website: https://socialcare.wales/our-board-members along with how the Board works: https://socialcare.wales/about-us/our-board

The Board sets direction and scrutinises the delivery of the organisation to make sure that we are achieving our strategic ambition to provide the social care and early years sector. The Board meets in public, at least every quarter, to make sure that there is a transparency about our governance and that people are at the heart of the decision-making process.

We have effective arrangements in place to provide assurance on risk management, governance and internal control. We have an Audit and Risk Committee which advises the Board and the Accounting Officer on the strategic processes for risk, internal control and governance and the Statutory Annual Accounts including the Governance Statement. As part of our internal controls to underpin effective corporate governance, we have a strategic risk register which we review and update regularly during the year.

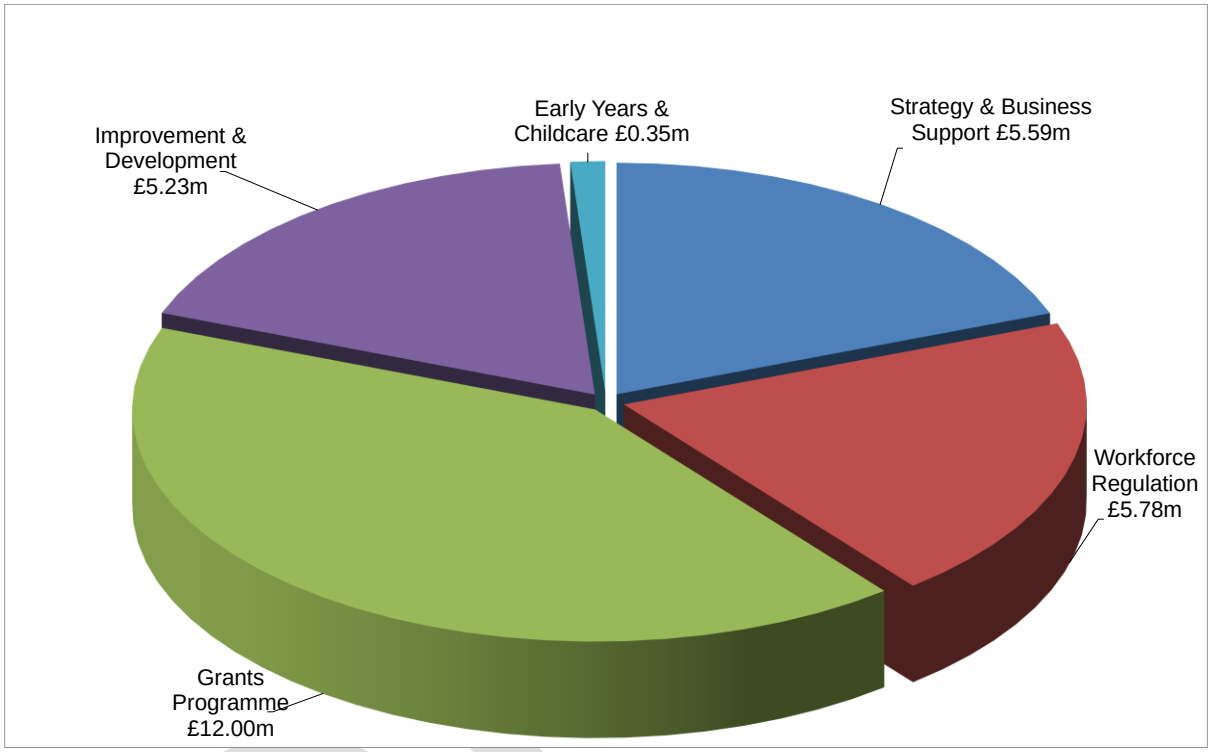
As a Welsh Government Sponsored Body, we work in line with our Model Governance Framework, Scheme of Delegation and Standing Orders. During the year we will continue to improve on our governance arrangements to reflect the work of the organisation in supporting the sector. We will continue to work within the governance framework, working in partnership with other public bodies and continuing to benchmark our performance against other relevant organisations.

[5] [1] 'International framework: good governance in the public sector', Chartered Institute of Public Finance and Accountancy (CIPFA) and the International Federation of Accountants, July 2014

Our financial allocations 2022-23

Our Remit Letter and Grant in Aid

Based on our funding as laid out in the Welsh Government final budget published on the 1 March 2022 our financial allocations are as follows :-



The total spend of £28.95m in 2022/23 is based on the following income budget allocations:

- Grant in Aid consisting of £25.64m with an additional £0.35m in relation to Early Years and Childcare leading to total Grant in Aid funding to be received of £25.99m
- An additional £0.07m to be received from Welsh Government in relation to Workforce Strategy Mental Health work
- Included in revenue is also an internal carry forward of £0.45m reflecting the underspend in 21/22
- Budgeted income from registrants of £2.1m including projected twenty one thousand payments from adult care home workers who are required to register before 30 September 2022.
- £0.04m in relation to Apprenticeship Certification Income
- £0.12m Foundation Economy Funding for the Introduction to Social Care training programme
- £0.18m from Digital Heath and Care Wales for National Data Resource

Our expenditure for 22-23 is analysed further below :-

Expenditure	Annual Budget £'000
Grants Programme	
SCWWDP	7,149
People Using Services and Carers	70
Regional Facilitation	1,465
Student Funding	2,151
PLOF	1,149
SfCD	14
Sub-total	**11,998**
Workforce Regulation	
Administration	108
Hearings	977
Projects	297
Salaries	4,401
Sub-total	**5,783**
Improvement and Development	
Administration	40
Intelligence and Data Admin	6
Projects	2,013
Salaries	3,174
Sub-total	**5,233**
Early Years and Childcare	
Projects	59
Salaries	286
Sub-total	**345**
Strategy and Business Support	
Premises	598
Governance	110
Communications	117
Carreg and IT	1,016
Digital	127
Finance & Grant Admin	9
Human Resources	291
Projects	485
Salaries	2,837
Sub-total	**5,590**
Total Expenditure	**28,949**

The expenditure has been calculated on the main assumptions as outlined below:-

- Salary costs are based on 22-23 projected pay levels and increased Employers National Insurance costs (increasing from 13.85% to 15.05%)
- The Salary budget is calculated on the basis that there will be a 4% vacancy factor reflecting the significant recruitment to be undertaken in 2022-23
- An expenditure contingency reserve of £350k is being held
- Our bursary budget is based on us awarding 200 new bursaries from the 227 available. This assumption is based on experience of the last few years with less than 200 bursaries being awarded (174 awarded in 2021-22)
- The Practice Learning Opportunity Funding (PLOF) is also based on the assumption that lower numbers than approved places entering the Social Work programmes

Analysis of the expenditure budget forecast totalling £28.95m is as follows:

- Grants programme of £12m which includes £7.15m for the Social Care Wales Workforce Development Programme (SCWWDP), £4.85m for other Social Care Workforce National Training Programmes including Social Work Bursaries and Practice Placement funding and includes £1.47m of grants for our regional facilitation work with the sector. The funding represents an increase of £0.69m on the 21-22 budget made available to the regions.

- Workforce regulation budget of £5.78m representing the salary costs of £4.41m in respect of the regulation directorate, its direct running costs totalling £1.08m and costs of £0.29m in relation to project work. A significant proportion of the running costs will be for costs associated with our fitness to practise and hearings panel functions. The total budget has increased by £1.14m in comparison to 2021-22 reflecting increased staffing costs due to the increase of numbers on the register in 22-23.

- Improvement and development budget of £5.23m which includes salary costs of £3.17m with the majority of the balance of the budget funding our project and commissioned work intended to support best practise and knowledge within the sector. The budget also includes the costs of running the data and research functions. The total budget represents an increase of £1.42m compared to 21-22.

- Strategy and business support budget of £5.59m which represents premises and office facilities costs, all costs of running our support functions and all Board costs. The salary cost included in this budget is £2.83m with the premises and office budget being a cost of £0.59m. The budget has increased by £1.32m compared to 21-22 enabling increased investment in our digital work.

- The Early years and childcare costs are Salaries costs of £0.29m but includes £0.05m for project and engagement work

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Business Plan 2022/23 activities in detail

Priority theme 1: for the social care and early years workforce

What we will be doing in 2022/23	Target / Indicator / Outputs	Timelines	Key partner(s)
Maintain an accurate Register of social care workers	1. 90% of applications processed within 5 days; 2. Number of outstanding applications - less than 600 open applications at any one time	Reported quarterly	Registered workforce and their employers, Welsh Government, Care Inspectorate Wales
Extend professional registration to adult care home workers and new managers	1. Numbers of the new groups on the Register 2. Employer engagement and feedback	Reported quarterly	Social care workforce and their employers, Welsh Government, Care Inspectorate Wales
Undertake investigations of allegations against social care registered professionals	1. Number of fitness to practise cases open; 2. Number of active cases open longer than 18 months less than 10%;	On-going and progress will be reported quarterly	Employers, Police, HEIs, CIW, Local Authority Safeguarding, NISCC, NMC, DBS, SSCC, Social Work England
Panel hearings held in accordance with the Rules	1. 100% of hearings held in accordance with the Rules. 2. number of appeals lodged to CST and % upheld	On-going and progress will be reported quarterly	Welsh Government, Panel members, unions, our legal advisers, registered persons/applicants
Continue to support the Welsh Government in its ambitions to further professionalise the early years workforce.	TBC	TBC	TBC
Provide financial support for social work students (bursaries)	100% of eligible students receive a bursary with a placement provided	Reported quarterly	HEI programmes; Local Authorities; Students
Manage the process for issuing Apprenticeship Certificates through the Apprenticeship Certification Wales (ACW)	Claims for certification are approved/rejected within 10 working days	Reported quarterly	Apprenticeship Certification Wales, Learning providers, learners
Promote recognition for the workforce through a Care Worker Card	1. Feedback from users on benefits 2. Implement requirements for 22/23 card	1. April 2022 2. In place for 22/23	Welsh Government, CIW, employers, providers of benefits and suppliers of other potential solutions

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What we will be doing in 2022/23	Target / Indicator / Outputs	Timelines	Key partner(s)
Develop a new Social Work PQ framework	TBC	TBC	TBC
Develop digital learning modules and resources to support the social care and early years workforce in using and improving their digital skills	1. All Wales Induction frameworks: Early years; Health and social care 2. Outcome focused practice 3. Wellbeing 4. Restrictive Practice SC and EYCC 5. Development/redesign of Welsh language resources	June 2023	Digital Communities Wales, training managers, early years network, CWLWM partners
Introduce initiatives to support the Wellbeing of the workforce	1. Building resilience and wellbeing through peer support 2. Introduce a Health and Wellbeing Framework for the social care workforce 3. Delivery of Resilience training for managers	TBC	Welsh Government Employer representatives e.g., ADSS Cymru, unions Care Forum, UKHCA, and other key partners such as CIW, HEIW
Support the early years and childcare workforce	1. Number of interactions with the ebulletin 2. Feedback from manager hubs	Reported quarterly	Welsh Government, Early Years Network, CWLWM, Local Authorities,
Implement Safeguarding learning	TBC	TBC	National Independent Safeguarding Board, Welsh Government, Regional Safeguarding Boards
Scope and develop workforce surveys to provide data and insights to inform future initiatives to support the workforce	TBC	TBC	TBC

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Priority theme 2: for social care and early years managers, leaders and owners

What we will be doing in 2022/23	Target / Indicator / Outputs	Timelines	Key partner(s)
Review and improve how we regulate	1. Implementation of recommendations following Fitness to Practice review 2. 12-month pilot model to deliver a wellbeing assistance programme 3. Panel member benchmarking review	March 2023	Welsh Government, UK regulatory organisations, regulation stakeholder group, HEIs, Employers, Registered People, Lawyers, other Regulators, Unions, representative organisations such as Care Forum Wales
Regulate social work training	1. Completion of 21/22 annual monitoring. 2. Annual Report on QA activity for this period 3. Agree QA approach for 22/23 and communicate it to programme partnerships	Reported quarterly	HEI programme partnerships
Maintain induction, qualifications and apprenticeship frameworks for the social care and early years sector	1. Completion of light touch review of vocational qualifications led by Qualification Wales 2. Deliver support workshops to employers and learning providers 3. Contribute to the development of new units to complement the revised health and social care qualification framework 4. Number of EYCC qualification queries received 5. Number of CCPLD apprenticeships completed 6. Number of interactions with the EYCC AWIF 7. Feedback on the EYCC AWIF	Reported quarterly	Qualifications Wales, HEIW, Consortium, Employers; learning providers, schools, C&G/WJEC, LA training managers, service regulators. Hywel Dda University Health Board, Careers Wales, Regional Partnerships, Director of Nursing, Director of Pembrokeshire Social Services.
Continue delivering, developing and promoting strengths based social care practice	1. Series of provider workshops delivered 2. Research of and creation of resources will be available to the sector	1. December 2022 2. December 2022	Local Authorities, ASC Ltd, Care and Support at home steering group. Providers, workforce leads, HEIW, NHS Delivery Unit, Improvement Cymru, Health board
Manage and administer the Social Care Wales Workforce	1. Research of and creation of a funding resource directory will be available to the	1. March	ADSS Cymru, Workforce Manager network

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Development Programme (SCWWDP) Grant for 2022/23 SCWWDP grant and Regional Facilitation Grant	workforce teams (completion date March 2023) 2. Mid-year monitoring report 3. Monitoring report on end of year grant 22/23	2. November 2022 3. August 2023	
Work with employers and key stakeholders to develop positive bilingual workplace cultures. Working with the National Centre for learning Welsh to develop social care specific Welsh language courses	1. Promote resources and tools to support the sector to work bilingually 2. Work with the Welsh Language Partnership Board on the findings of More than Just words Evaluation	Ongoing	Health and Social Care Welsh Language Partnership Board, Employers; learning providers
Deliver on an attraction, recruitment, retention framework for social care, early years and childcare	1. Programme of activities and resources developed and rolled out on key elements of values-based recruitment 2. Continued roll out of Introduction to Social Care training programme across Wales 3. Care ambassadors promoted, recruited and supported 4. National attraction, recruitment and retention campaign run continuously for social care and early years throughout the year – including launch of jobs portal, 5 TV adverts	1. On-going 2. April - Sept 3. Progress reported quarterly 4. Campaign statistics reported quarterly	Stakeholder Advisory Group, Regional Career Connectors, Careers Wales, care employers
Develop Employer Support service	1. Agree strategy and delivery arrangements 2. Capacity in place to test the principles and engagement with adult residential care employers 3. Implement principles and engagement with all employers	1. Sept 2022 2. March 2023 3. March 2023	Welsh Government, CIW Employers including recruitment agencies
Implement workforce plans for the direct care workforce in line with themes of the workforce strategy	Publication of workforce plan	May 2022	ADSS Cymru and associated Local Authority structures, Care Providers, Care Providers member groups, Unions, Workforce managers, Learning providers

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Implement Social Work workforce plan in line with workforce strategy	1. Publication of workforce plan 2. Establish new post qualifying framework 3. Support qualifying pathways project outcome 4. Scope potential for a new project looking at a national terms and conditions framework	TBC	HEIW, Welsh Government, ADSS Cymru, Local Authority Social Service Departments, Workforce Manager network
Develop a workforce plan to support the implementation oof the new Liberty Protection Safeguards	1. Learning and development framework for the implementation of the LPS developed 2. Support Welsh Government communications plan to establish effective communications around LPS to help the sector to prepare for implementation in Wales.	TBC	HEIW, Health Boards Welsh Government, ADSS Cymru, Local Authority Social Service Departments, Workforce Manager network
Develop a workforce plan for the mental health workforce in line with of the workforce strategy	1. Publication of workforce plan 2. Develop Implementation of workforce plan	TBC	ADSS Cymru, BASW, Local Authority Workforce Managers, Health, Voluntary sector providers of social work, Recruitment Agencies, Unions
Hold the 2022 Accolades Ceremony and prepare for 2023 Accolades	1. Ceremony held 2. Preparations for 2023 Accolades progressed	1. April 2. June onwards	Welsh Government, Local Authorities, Independent and third sector employers, CIW, HEIW, Improvement Cymru, Early years networks

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Priority theme 3: for strategic leaders and stakeholders

What we will be doing in 2022/23	Target / Indicator / Outputs	Timelines	Key partner(s)
Provide leadership and support implementation of workforce strategy (inc. fair work)	1. Contribute to the development of a careers framework 2. Contribute to the research in relation to the terms and conditions of the social work profession	TBC	Social Care Wales and HEIW governance group, Welsh Government, sector leaders, employers, ADSS Cymru
Develop the data discovery platform	1. Launch and enhancements of the new data discovery platform 2. Acquisition of new data for the portal 3. Improved workforce data and insights	TBC	Data Portal advisory group, Welsh Government, local authorities, Regional Partnership Boards, WLGA, ADR Wales, Public Health Wales, Audit Wales, third sector and CIW.
Implementation of the Social Care Research and Development Strategy	1. Implementation of the 2018-23 strategy 2. Development of the next five-year Social Care Research and Development Strategy 3. An enhanced external profile for our research, data and innovation work	TBC	Strategic Implementation Group, Health and Care Research Wales, local authorities, third sector and independent providers, policymakers and researchers, Health Technology Wales, the Life Sciences Hub, Regional Innovation and Improvement Coordination Hubs
Deliver & further develop national leadership programmes e.g., scoping of cross sector learning, responding to Welsh Government initiatives LGBTQ+	TBC	TBC	TBC
Leading the strategic approach to social care data in Wales	1. Co-design of the implementation plan for the strategic approach to social care data 2. Engagement of the public and practitioners in the data strategy 3. An approach to information governance for social care data in Wales 4. Common standards for social care data	TBC	NDR Programme Board, NDR Social Care Subgroup, ADSS Cymru, WLGA, Welsh Government, Digital Health and Care Wales, local authorities, independent and third sector organisations

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What we will be doing in 2022/23	Target / Indicator / Outputs	Timelines	Key partner(s)
Use research to inform our approach for supporting innovation in social care with social care leaders and practitioners.	TBC	TBC	TBC
Develop resources to support the sector in practicing compassionate and collective leadership	1. Engagement with the third sector and local authorities to shape a pilot programme 2. Delivery of a pilot with a small cohort of 12-15 participants across local authority and third sector 3. Evaluation and recommendations for sustainable continuation of the programme 4. development and delivery of the first cohort of Aspiring Middle Managers	1. On-going and reported quarterly 2. On-going and reported quarterly 3. On-going and reported quarterly 4. On-going and reported quarterly	ADSS Cymru, HEIW WCVA, Care Forum, Workforce Managers, IPC Oxford Brookes
Support the use of evidence in strategic planning and service design (within our evidence offer)	1. Publication of curated evidence and summaries 2. Better connections between knowledge generators and users and collaborate with knowledge mobilisers. 3. Prioritised topics and evidence gaps 4. New ways to support people to find, access, use, apply and generate evidence and support for environments that are enriched for learning.	TBC	Welsh Government, local authorities, third sector and independent providers, CIW, ADSS Cymru, Regional Innovation and Improvement Coordination Hubs, researchers, Developing Evidence-Enriched Practice Programme.
Co-design and oversee the data strategy implementation plan	TBC	TBC	TBC
Community resourcefulness	1. To deliver a series of partnership peer learning sessions to explore multi sector challenges as well as the coproduction of solutions and actions to aid the	TBC	Care and support at home partnership group, Wales Centre for Public Policy, primary care, Public Health Wales, Wales Centre for Social Care Research, Wales

Draft

What we will be doing in 2022/23	Target / Indicator / Outputs	Timelines	Key partner(s)
	development of wellbeing and community resourcefulness across Wales. 2. Prepare a report summarising the action sets key learning and feedback to CRP quarterly meetings 3. Apply the learning into the development of local, regional and national decision and policy making plans e.g., Public Service Boards Wellbeing plans 4. Further develop broader multi-sector relationships and endorsement to support joint and aligned working.		Centre for Social Prescribing Research, WCVA, Improvement Cymru

Draft

Priority theme 4: for the Social Care Wales workforce

What we will be doing in 2021/22	Target / Indicator / Outputs	Timelines	Key partner(s)
Publish our annual work (business plan 2021/22) and 5-year plan (a new strategic plan 2022 – 2027)	1. Submit Business Plan 21/22 2. Strategic Plan developed and published	1. July 2. April	Welsh Government, CIW, HEIW, WLGA, ADSS Cymru, employers, workforce
Implement our Strategic Equalities Plan	1. Improve the use of equality data and information 2. Equality at work 3. Digital inclusion 4. The well-being of the social care and early years workforce 5. Equality, diversity and inclusion within Social Care Wales	Reported quarterly	Welsh Government, HEIW, Diverse Cymru, Equality and Human Rights Commission, Digital Communities Wales, Government Digital Service (GDS), employers, local authorities, CIW.
Implement our marketing and communications strategy	1. Strategy and plans developed 2. Surveys of stakeholder perceptions relating to awareness, understanding and support among key stakeholders held	Reported quarterly	Our staff who are involved in engagement activity and the stakeholders we will be working with
Revise and implement the 3-year ICT strategy to support the achievement of the business plan	1. Improvements to our Cyber Resilience and information governance arrangements 2. Rolling program of ICT hardware implemented	1. December 2. Reported quarterly	Third party ICT supplier, ICO, Welsh Government SIRO, WGSB IT network
Implement our People, Learning and Development strategy	1. Disability confident scheme embedded across our HR policies and procedures 2. Training and learning strategy developed to underpin our 5-year Strategic Plan 3. HR policies and procedures reviewed and implemented in light of our way of working (learning from Covid)	1. Level 3 achieved March 2022 2. December 3. Reported quarterly	Our staff, WGSB HR network, Staff Partnership Council, Leadership Team
Implement our Digital strategy	1. Take forward recommendations on agreed road map	Reported quarterly	Welsh Government, HEIW, PHW, Wales Co-operative Centre, UNISON Government Digital Service (GDS), Tech Cymru, Digital

Draft

What we will be doing in 2021/22	Target / Indicator / Outputs	Timelines	Key partner(s)
	2. Build and develop our capacity and capability to embed our digital approach 3. Welsh first digital service piloted in an area of work (as a demonstrator project to learn and inform future digital developments) 4. Review implications of the work on the requirements on our ICT infrastructure		Wales, Third Party IT and on-line service providers
Develop and implement our Welsh language strategy	1. Strategy to be approved by EMT 2. Actions identified within strategy to be implemented	1. June 2. Reported quarterly	Welsh Language Commissioner, Welsh Government, Leading in a bilingual country network, our staff
Maintain effective financial and internal audit controls	1. Annual Accounts laid as per plan with external audit 2. Internal Audits conducted according to Internal Audit Plan 3. 2% cash balance ensured at end of financial year achieved	1. August 2021. 2. 90% of Internal Audit receive substantial/ moderate rating 3. 2% cash balance achieved at the end of the financial year; 4% balance achieved on a monthly basis	Welsh Government, Audit Wales, Internal Audit, our staff
Strong governance and accountability arrangements through the effective management of the Board and Committees	1. Board and Committees are making all the decisions as delegated to them. Board continues their development using scheduled board development sessions. Board approve and scrutinise work as required. 100% of meetings held in line	1. Reported quarterly	Welsh Government, Audit Wales, Internal Audit, Deputy Minister for Health and Social Services, Public Bodies Unit, HEIW, Public Health Wales

Draft

What we will be doing in 2021/22	Target / Indicator / Outputs	Timelines	Key partner(s)
	with Standing Financial Instructions and Scheme of Delegation 2. Increased Board Member representation of people from ethnic minority background through the next Board recruitment in 2021/22	2. March 2023	
Maintain compliance with statutory organisational requirements and organisational standards	No compliance notices received by relevant compliance regulators ISO27001 certification	Reported quarterly	Welsh Language Commissioner, Information Commissioner's Office, Equality and Human Rights Commission
Develop and maintain current business operations – set out future ways of working	1. Implement hybrid ways of working policy (and review) 2. Revise and develop new/existing policies to support new ways of working	1. April (quarterly) 2. Reported quarterly	Welsh Government; HSE; Acas, CIPD, WGSBs, researchers
Improve our organisational resilience against cyber and future disruption.	1. Commission out to work with a third-party supplier on developing new Business Continuity plans 2. Work through actions needed to implement business continuity planning	1. June 2. Reported quarterly	Welsh Government, third party supplier, IT third parties, our workforce

Draft

Gofal Cymdeithasol Cymru
Social Care Wales

Cyfarfod / Meeting	**Board Meeting**				
Lefel dosbarthiad / Openness Level	**Preifat / Private**			**Cyhoeddus / Public**	
	☐			☒	
Dyddiad / Date	**28.04.22**				
Eitem Agenda Agenda Item	**8**				
Teitl / Title **SCW/22/11**	**Strategic Risk Register 2022 - 23**				
Awdur / Author	Sue Evans, Chief Executive				
Cyfraniadau Gan/ Contributions From	Leadership group				
Papurau Cefnogol / Supporting Papers	Appendix 1 – Strategic Risk Register 2022 - 23 Appendix 2 – Board risk appetite Appendix 3 – Definition of risk appetite from Risk Management policy				
Gweithgaredd Cynllun Busnes / Business Plan Activity	Priority theme 4: our organisation Ensuring continuous improvement of how we do our work to be an effective and efficient Welsh public service organisation				
Gweithred / Action Required	**Cymeradwyaeth / Approval**	**Darparu Llyw / Provide A Steer**	**Darparu Sicrwydd / Provide Assurance**	**Trafodaeth / Discussion**	**Craffu / Scrutinise**
	☒	☐	☐	☒	☐
Argymhelliad / Recommendation	Members are invited to **discuss** and **note** the Strategic Risk Register 2022 – 23.				
Prif Bwyntiau; Materion Allweddol i Dynnu Sylw Atynt: Cwestiynau I'w Ystyried	In December 2021, during the Board development session, the Board discussed and identified strategic risks associated to the delivery of the new 5-year strategic plan outcomes.				

<table>
<tr><td>Main Points: Key Issues to Draw to Attention; Questions to Consider</td><td colspan="4">Since then, further work has been done to refine the Strategic Risk Register. Appendix 1 shows the high-level draft Strategic Risk Register covering:

• Title
• Risk Description
• Risk Type
• Risk Appetite
• Inherent Score
• Residual Score

Strategic risk is a significant risk with a wide-ranging impact requiring reference to and monitoring by the Social Care Wales Executive Management Team (EMT) and Board Members. These would be assessed as having a high impact on the business of Social Care Wales and a high likelihood of occurring.

The Audit and Risk Committee supports the Accounting Officer (Chief Executive) and the Board in monitoring the organisation’s governance arrangements, risk management and internal controls. The Committee is also responsible for monitoring the sources of assurance which inform how effectively risk is managed and reliability of the internal control system. They will scrutinise the action taken to address risks where they feel that the action taken since the last committee meeting is inadequate.</td></tr>
<tr><td rowspan="3">Goblygiadau Risg y cynigion / Risk Implications of Proposals</td><td colspan="2" rowspan="2">Teitl y Risg / Risk Title</td><td rowspan="2">Cyfeirnod cofrestr Risg/ Risk Register Reference</td><td colspan="2">Sgoriau risg gweddilliol

Residual Risk Scores</td></tr>
<tr><td>Cyfredol Current</td><td>Dyfodol Future</td></tr>
<tr><td colspan="2">Not applicable</td><td></td><td></td><td></td></tr>
<tr><td rowspan="3">Asesiadau Effaith / Impact Assessments Considered</td><td>Cyfle cyfartal / Equality of Opportunity</td><td>Diogelu data / Data Protection</td><td>Iaith Gymraeg / Welsh Language</td><td colspan="2">Arall / Other (e.g climate change / future generations</td></tr>
<tr><td>☐</td><td>☐</td><td>☐</td><td colspan="2">☐</td></tr>
<tr><td colspan="5">Not applicable as each new project, policy or programme has a specific impact assessment.</td></tr>
</table>

Strategic Risk Register 2022 - 23

					Before any controls/ mitigations			Once effective controls in place		
Risk ID	Title	Risk Description	Risk Type	Risk Appetite	Inherent Likelihood Score	Inherent Impact Score	Inherent Risk Score	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
SR-21-01-02	Wellbeing Effectiveness	There is a risk that IF our wellbeing interventions are not effective, THEN they will not be adopted or accessed, RESULTING in reputational risk to Social Care Wales over our effectiveness and value for money.	People	Open	4	3	12	3	2	6
SR-21-02-01	Public Perception	There is a risk that IF we do not positively influence perceptions of the social care sector, THEN the sector will be undervalued, and its impact not clearly understood RESULTING in under investment within the sector.	Reputational	Cautious	4	4	16	3	4	12
SR-21-02-03	Pay/Reward	There is a risk that IF the pay, reward and conditions for care and early years workers are not addressed, THEN our routine activities will be adversely impacted by increased social care worker turnover, RESULTING in reduced effectiveness and efficiency in terms of our value for	Operational Delivery	Open	4	4	16	3	4	12

		money and improvement activities.								
SR-21-03-02	Welsh Government Funding and Support	There is a risk that IF Welsh Government funding does not align to the scope and future changes to our remit, THEN we will see a lack of resources and limited capacity to invest in non-statutory activities RESULTING in Social Care Wales being unable to fulfil its role to lead in evidence-based practice being development within the sector.	Financial/ VFM	Open	3	3	9	2	3	6
SR-21-03-03	Research and Data	There is a risk that IF we do not support the development of research and data capacity and priorities, THEN the sector will not have access to the evidence base required, RESULTING a lack of Research and Development capacity, and effective service planning and improvement.	Operational Delivery	Cautious	3	3	9	3	2	6
SR-21-04-01	Application of Regulatory Framework	There is a risk that IF the extension of the register is not aligned with commensurate awareness of regulatory principles, processes and procedures amongst the workforce and providers, THEN there will be potential for	Governance	Averse	3	4	12	2	4	8

		inappropriate individuals remaining working in the sector, RESULTING in harm to individuals and to the reputation of Social Care Wales.								
SR-21-04-02	Regulator Effectiveness	There is a risk that IF the extension of the register is not aligned with increased efficiencies to allow for the expected proportionate fall in income, THEN there will be potential for funds being diverted from other functions of the organisation, RESULTING in inability of Social Care Wales to deliver against its remit.	Governance	Averse	3	4	12	2	4	8
SR-21-06-02	Insufficient Recruitment	There is a risk that IF the sector is unable to attract and retain sufficient workers, THEN services will not have the capacity to provide the level and standard of care required, resulting in potential harm due to loss of service provision and quality.	Operational Delivery	Open	3	4	12	3	3	9
SR-21-06-03	Employer Relationships	There is a risk that IF we do not strengthen the connection/relationship with employers, THEN the impact and value for money of our recruitment/retention campaigns may be lost, RESULTING in the impact	Financial/ VFM	Cautious	3	4	12	2	4	8

		and value of our activities being lost.								
SR-21-05-01	Sector Collaboration Capacity	There is a risk that IF the sector and partner capacity issues remain, THEN it will not be possible to implement changes or improvements in a timely manner, RESULTING in slow turnaround of projects, a disenfranchised workforce, a risk of harm to the public and significant reputational damage for Social Care Wales.	People	Cautious	4	3	12	4	3	12
SR-21-05-02	Professional Development	There is a risk that IF we do not develop a proportionate and positive set of expectations for registered people, such as Continuous Professional Development (CPD), THEN care workers and employers will struggle to deliver requirements, RESULTING in a loss of confidence in regulation and an increase in remedial actions required by employers, workforce and ourselves.	Operational Delivery	Open	4	3	12	2	3	6
SR-21-08-01	Governance and Assurance	There is a risk that IF we fail to create effective regulatory systems and processes, THEN objectives will not be met, risks may go unmanaged and/ or data inappropriately	Operational Delivery	Averse	4	5	20	2	3	6

		accessed, RESULTING in potential harm to individuals and reputational damage.								
SR-21-08-02	Cyber Resilience	There is a risk that IF our cyber detection, prevention and response arrangements are inadequate, up to date and effective, THEN our systems may be compromised RESULTING in a permanent or sustained loss of data, systems and processes preventing us performing our functions.	Operational Delivery	Averse	5	5	25	5	4	20
SR-21-08-04	Climate Change	There is a risk that IF new models of care are not researched and promoted in response to the impacts of climate change, THEN the demand for social care will increase RESULTING in cost and capacity issues that are unmanageable for the sector without significant increase in capacity and changes to delivery models services.	Operational Delivery	Hungry	4	4	16	4	4	16
SR-21-08-05	Skills and Capacity	There is a risk that IF we can't recruit the right people, with the right skills, THEN it will be difficult to support sustained change and improvement within the sector, RESULTING in substandard delivery of our services and the sector as a whole.	Operational Delivery	Open	3	4	12	3	3	9

SR-21-08-06	Inter-connectivity	There is a risk that IF we do not develop and maintain our social care and health networks and stakeholders, THEN we will not contribute to the aspiration of developing one public service RESULTING failure to support the wider programme for government and achieve best outcomes of the people of Wales.	Operational Delivery	Open	4	4	16	3	4	12
SR-21-08-08	COVID-19	There is a risk that IF the current pandemic prevalence continues to impact services, THEN we will continue to focus on response reactions to immediate short term crisis management RESULTING in reduced oversight of workforce and loss of longer-term improvement initiatives.	Operational Delivery	Open	4	4	16	4	4	16

Risk Guidance

Risk Appetite Guidance

RISK APPETITE LEVEL → / RISK TYPES ↓	1 – AVERSE Avoidance of risk is a key organisational objective	2 – MINIMAL Preference for very safe delivery options that have a low degree of inherent risk and only a limited reward potential	3 – CAUTIOUS Preference for safe delivery options that have a low degree of residual risk and only a limited reward potential	4 – OPEN Willing to consider all potential delivery options and choose while also providing an acceptable level of reward	5 – HUNGRY Eager to be innovative and to choose options offering higher business rewards (despite greater inherent risk)
Board Assessed Risk Appetite	Governance	Reputation	Financial/ VFM Our People	Operations / Policy	

Risk Type Guidance

RISK APPETITE LEVEL → / RISK TYPES ↓	1 – AVERSE Avoidance of risk is a key organisational objective	2 – MINIMAL Preference for very safe delivery options that have a low degree of inherent risk and only a limited reward potential	3 – CAUTIOUS Preference for safe delivery options that have a low degree of residual risk and only a limited reward potential	4 – OPEN Willing to consider all potential delivery options and choose while also providing an acceptable level of reward	5 – HUNGRY Eager to be innovative and to choose options offering higher business rewards (despite greater inherent risk)
FINANCIAL/ VALUE FOR MONEY **How will we use our resources?**	Avoidance of financial loss is a key objective Only willing to accept the low-cost option Resources withdrawn from non-essential activities	Only willing to accept the possibility of very limited financial loss. VFM is our primary concern	Prepared to accept the possibility of limited financial risk. VFM remains our primary concern. Resources generally restricted to core operations	Prepared to accept some financial risk if appropriate controls are in place. Value and benefits considered (not just price). Resources allocated to realise potential opportunities.	Prepared to invest for the best possible reward and accept the possibility of increased financial loss (although controls may be in place). Resources allocated recognising that the potential for substantial gain outweighs inherent risks.
GOVERNANCE **How will we be perceived by our those who formally oversee our work?**	No appetite for decisions that may compromise compliance with statutory, regulatory or policy requirements. Play safe.	Avoid any decisions that may result in heightened regulatory challenge unless essential. Very sure we would win any challenge.	Prepared to accept the possibility of limited regulatory challenge. Reasonably sure we would win any challenge. (seek to understand where similar actions had been successful).	Prepared to accept the possibility of some regulatory challenge. Likely to win it and the gain will outweigh the adverse consequences.	Willing to take decisions that will likely result in regulatory intervention if we can justify these and where the potential benefits outweigh the risks to improve outcomes for stakeholders.
OPERATIONAL AND POLICY DELIVERY **How will we deliver safe services?**	Defensive approach to objectives. Avoidance of innovation, aim to maintain or protect, Priority for tight management controls, oversight AND limited devolved decision making	Decision making authority held by senior management. Avoid innovation unless established and proven to be effective in a variety of settings and unless essential.	Preference for the status quo. Decision making authority generally held by senior management. Innovations generally avoided unless necessary/ limited to improvements to protection of current operations.	Innovation supported to enable operational delivery, with demonstration of commensurate improvements in management control. Responsibility for non-critical decisions may be devolved.	Innovation pursued; new technologies viewed as a key enabler of operational delivery. Desire to challenge current working practice. High levels of devolved authority – management by trust rather than tight control.
REPUTATIONAL **How will we be perceived by the public and our partners?**	No appetite for decisions that could lead to additional scrutiny or attention on the organisation by Government or Sponsor.	Tolerance for risk taking is limited to those events where there is no chance of significant repercussions for the Government or Sponsor	Tolerance for risk taking limited to those events where there is little chance of any significant repercussion for the Government or Sponsor Division and appropriate controls are in place to limit any fallout.	Appetite to take decisions with potential to expose the Government or Sponsor to additional scrutiny but only where appropriate steps have been taken to minimise any exposure and there is the potential for improved outcomes for our stakeholders.	Appetite to take decisions that are likely to bring scrutiny of the organisation. We outwardly promote new ideas and innovations where potential benefits outweigh the risks and there is a commensurate opportunity for improved outcomes for our stakeholders.
OUR PEOPLE **How will we safeguard and secure our workforce?**	No appetite for decisions that could have a negative impact on the workforce development, reputation, and retention. Sustainability is our primary interest.	Avoid all risks relating to the workforce unless essential. Innovative approaches to workforce recruitment and retention are not a priority and will not be adopted if proven to be effective elsewhere.	Prepared to take limited risks with regards to the workforce. Where seeking to innovate, we seek to understand where similar actions had been successful elsewhere before taking any decision.	Prepared to accept the possibility of some workforce risk, as direct result from innovations if there is the potential for improved recruitment and retention, and developmental opportunities for staff and care workers	We are willing to take risks which may have implications for our workforce but could improve the skills and capabilities of our staff. We recognise that innovation is likely to be disruptive in the short term but with the possibility of long-term gains.

Gofal Cymdeithasol Cymru
Social Care Wales

CYFARFOD / MEETING	**Board meeting**				
	PREIFAT / PRIVATE			**CYHOEDDUS / PUBLIC**	
				√	
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA AGENDA ITEM	**9**				
TEITL / TITLE SCW/22/12	**Business Plan 2021-22: Quarter 4 update**				
AWDUR / AUTHOR	Sue Evans, Chief Executive				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – Business Plan Progress: 12 months update – performance commentary Appendix 2 – Budget Report for the period to 31 March 2022 Appendix 3 – End of year HR dashboard				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	All Business plan activities.				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	×	☐	☐	☐	×
ARGYMHELLIAD / RECOMMENDATION	Members are asked to **scrutinise** and **approve** the progress against the Business Plan 2021-22 at the end of year stage.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED **MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION;**	This performance report provides an update against: • progress against all priority themes including exception reporting of amber and red activities in Appendix 1 • our financial position at 12 months in Appendix 2 • a high-level performance dashboard of our 12-month HR report in Appendix 3				

QUESTIONS TO CONSIDER	
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	Impact assessments are completed for specific pieces of work.

Business Plan 2021-22: Quarter 4 update

1. Purpose of report and recommendation

1.1 This report provides Members with the quarter 4 performance progress against our 2021-22 business plan.

1.2 A short performance commentary is included for each priority theme and exception reporting of amber and red activities.

1.3 Whilst significant progress is being made in the majority of business plan activities; there is a recognition that the impact of the pandemic continues to have a significant impact on the sector. In particular the ability to undertake the level of engagement required on our work to ensure that it is truly co-produced with the sector for the sector. This approach has been the basis of some of our most successful work in recent years and so it was decided to be sensitive to these issues when taking work forward.

1.4 Members are asked to consider and approve the progress against the Business Plan 2021-22 at the 12-month stage.

2. Context

2.1 The Business Plan 2021-22 sets out our priority themes, activities and budget for the year. It is the tool through which our Board and the Welsh Government monitor our performance in delivering the targets set.

3. Performance against business plan as at 12 months

3.1 As at 12 months the overall status of Social Care Wales's progress against activities is:

	Activities	On track	Requires additional support	Major concerns
Business plan targets	54	41	13	-
% as at 12 months		**76%**	**24%**	**-**

3.2 The indicators used in this report is to assess how well we are performing as an organisation to deliver the activities in the Business Plan 2021-22. The indicators provide quantitative data on our activities and outputs, assist in assessing if key milestones are met, compliance with legislation/regulations and whether remedial action is required in certain areas. However, further work and refinement of measures and indicators will continue in line with our work in relation to measuring our impact and revision of our Strategic Plan and our new performance reporting framework.

3.3 A more detailed narrative is only provided on targets and activity which require additional support or where we have major concerns.

4. Role of the Board

4.1 Two of the four collective responsibilities of the Board, as set out in the Governance Framework, is to:

- make sure that Social Care Wales' activities are conducted efficiently and effectively
- monitor performance to ensure that Social Care Wales fully meets its aims, objectives and performance targets.

Priority theme 1 - Social Care and Early Years Workforce

Performance Indicators / Milestones / Outputs	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Processing times of applications*	88%	49.6% (Average 8 days to process)	86.2%	74%	90% within 5 days
Number of open applications	574	586	523	1920	Less than 600 open at any one time
Adult Care Home Workers registered	213 (991 total registered)	184 (1175 total registered)	234 (1409 total registered)	897 (2306 total registered)	1500 for 21/22
Number of fitness to practise cases open	298	303	294	306	Last quarter
Number of active cases open longer than 18 months	7% (21 cases)	9% (27 cases)	9.7% (29 cases)	13% (39 cases)	Less than 10%
Number of appeals lodged to CST and % upheld	1 (no decision yet)	1 (no decision yet)	1 (withdrawn)	0	
Eligible students receive a bursary with a placement provided	n/a	100%	100%	100%	100%
No. enrolled for the new digital version of the Social Care Worker card	15,024	17,541	19,050	22,186	30,000 by year end

* From complete form being received to registration being granted/renewed

Performance Commentary

During Quarter 4 the number of applications increased significantly from the previous quarter with 1920 open applications compared with the previous figure of 523. These applications included a significant number of Domiciliary Care Workers (DCW), suggesting a continuing high turnover rate within the group. Subsequently, the increase in application numbers resulted in increased processing times with 74% of applications being processed within five days.

At the end of Q4 there was an approximately 60% increase of Adult Care Home Workers on the Register compared to the previous quarter, totalling 2,306 and exceeding our target of 1500 for the year.

The number of open investigations in Q4 remained stable at 306, with 151 of these investigations relating to DCW (49%). Although we saw an increase in applications coming through to Fitness to Practise (FtP) for investigation, the current levels for DCW applications are still higher than for Adult Care Home Workers (ACHWs). Additionally, there was a jump of 10 in the number of active cases open longer than 18-months, reflective of the additional referrals from DCW registration in April 2020.

It is anticipated that these trends will continue into the new financial year, with the expansion of the Register bringing significant operational challenges during the first three quarters of 2022/23, mirroring the challenges faced during the recruitment of Domiciliary Care Workers onto the Register. In the longer term the planned expansion of teams, allied to system changes such as the Fitness to Practise (FtP) Review, will return these metrics to expected levels in 2023/24. In the interim period

some mitigations have been put into place, including overtime and revised responsibilities for staff, but it is considered that the existing performance indicators will be difficult to meet for those teams. During this period the priority will remain public protection, even if this results in some additional delays. The Executive Management Team is considering whether to bring forward revised tolerances for the current annual year in these areas.

No appeals had been lodged to Care Standards Tribunal (CST) during the quarter. Furthermore, 100% of eligible students received a bursary with the placement provided.

There was a 16.4% increase in the number of care workers signing up for the Social Care Worker card, over double the rate seen during the previous quarter.

Business plan activity	Narrative	QTR 4
Maintain an accurate Register of social care workers	We are now processing debtors in real-time, with 663 removals in total during this quarter. The number of applications has increased significantly, with almost three times as many applications received this quarter than last. This includes a significant number of domiciliary care workers, which suggests an ongoing high turnover in this group. For the reason above our processing times have dipped slightly below our target, with 74% of those received registered within 5 days of receiving a complete application this quarter. There are 1,920 open applications, almost four times as many as last quarter.	
Extend professional registration to adult care home workers and new managers	There are 2.306 adult care home workers on the Register, which is around a 60% increase compared to last quarter. The materials are ready, and available on our website. We will know be distributing them both electronically and virtually to employers and registered people over the coming weeks. Engagement has continued, with all regional partnership events held. We will be meeting with Care Inspectorate Wales (CIW) and Care Forum Wales over the coming months.	
Undertake investigations of allegations against social care registered professionals	While there is a turnover of cases, the number of open investigations is stable at 306 - 151 of these investigations relate to DCW (49%). There has been an increase in applications coming through to FtP for investigation, however, currently the levels for DCW applications are still higher than for ACHWs. There has been a jump in the over 18-month cases, but this is reflective of the additional referrals from DCW registration in April 2020, where some of those cases are now falling into the over 18-month category.	

Provide financial support for social work students (bursaries)	Have processed 184 Bursary Application forms and 302 Bursary Renewal Forms. Have paid 367 Masters (including 13 pro rata Bangor completers) and 855 undergraduate bursary instalments so far during academic year 2021/22 totalling some £1,509,500. Have paid 8 People using services and Cardiff (PusC) Core Funding and 4 Per Capita payments totalling £52773.51. Have paid 69 Practice Learning Opportunity Funding (PLOF) Claims totalling £1,236,840. 174 new bursaries were awarded of the 227 available.	

Priority theme 2 - Social Care and Early Years Managers, Leaders and Owners

Performance Indicators / Milestones / Outputs	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Qualification's framework updated with new early years and childcare qualifications	n/a	23rd September			September
Early Years Manager induction framework launched	n/a	n/a	Projected to be launched in new financial year	Projected to be launched in new financial year	March 2022
Number of employers registered on the job's portal	Available from next quarter	4019 (a combined figure between registered employers and job seekers)	6123 (a combined figure between registered employers and job seekers)	6922 (a combined figure between registered employers and job seekers)	Previous quarter
Numbers of new job seekers registered on the job's portal	Available from next quarter				Previous quarter

Performance Commentary

The activities in this quarter have progressed well and to the set timelines.

The best practice events held during the year were highly successful with good engagement and positive evaluation. Plans are in place for two events to be held in June and September of 2022. The Monthly employer engagement workshops are to continue into the new year and an invite has been made to the Registration team to attend to engage with employers over registration matters. Work continued during the quarter to monitor the challenges faced by learners, employers and learning providers for qualification delivery and attainment. To support learners to achieve, a proposal has been made to adapt the Core qualifications to be extended until 31 December 2022 for all learners registered up to 31 August 2022. There are several issues relating to this proposed extension and Further Education (FE) qualification delivery that require attention and we will work with Qualifications Wales and other key partners to address them appropriately. Regarding the work on the maintenance of the apprenticeship frameworks, the situation remains the same as Q3 and will continue to be monitored and managed within the Qualifications Operational Group.

The Social Services Practitioner qualification is live with approximately 45 learners registered in quarter 4. The Information Advice and Assistance (IAA) competency framework has been finalised and signed off and will be launched on the 11th of May; monthly workshops will then take place to support implementation.

Additionally, the Social Care Institute for Excellence (SCIE) evaluation report has been published and a celebratory event was held on the 17th of March to mark the successful conclusion and evaluation of the joint induction pilot with Hywel Dda. Further consideration to be given for a wider implementation using a 'how to' guide and a short series of introductory workshops.

The Early Years Manager induction framework launch has not yet been completed as it has been deferred following conversations with Welsh Government regarding the focus for the Early Years and Child Care (EYCC) sector in its COVID recovery. A decision has been made to postpone this work until the year 2022/2023.

The 'We care, will you' campaign evaluation had a good level on engagement online and positive feedback provided. A further campaign for apprenticeships was held during February and March with a new style TV advert to target younger people, EYCC campaign focussed on recruitment and a new Social Care TV advert. Full evaluations for all three are to be delivered in late April.

The Introduction to Social Care training programme continues to build momentum with evening sessions being trialled and a young person session planned for April 2022. The full team have been recruited and are currently operating in their respective roles.

Business plan activity	Narrative	QTR 4
Supporting the sector to work bilingually	We continue to be involved in the development of the revised Mwy Na Geiriau strategy. We continue to support the sector in the provision of bilingual training and learning resources. But there are current capacity issues in relation to the Welsh language work, there is a plan in place to move this forward.	

Priority theme 3: Social Care and Early Years Systems Leaders

Performance Indicators / Milestones / Outputs	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Workforce Strategy Implementation plans costed and approved	N/A	N/A	N/A	2022/23	March 2022
Visitors to data portal	651	625	886	734	Previous quarter
Research support and engagement framework launched	Delayed until Q2	Delayed until Q3	Delayed until Q4	Will be launched in 2022/23	June 2021
Evidence for Improvement Draft Strategy approved	N/A	N/A	Will be published in new financial year	Will be published in new financial year – see performance commentary	March 2022

Performance Commentary

The 2021/22 Workforce Strategy Annual Report is currently being written to reflect its performance over the past 12 months. Further, upon completion and approval of the business plan and Project Initiation Document (PID) activities a Delivery Plan is to be written to reflect 2022/2023's workplans. This plan will be published and shared with the sector following its sign off with a target date of April 2022. Because of this the targets '*Engagement with sector to inform detail implementation plans held'* and '*Implementation plans costed and approved*' have been pushed back to the summer of 2022.

Work with a third-party supplier has helped us to develop our approach to community management with the launch of our evidence community. This has brought a step change in how we view communities and our role in supporting and enabling them. The 'Minimum Viable Product' solution was agreed and sourced in Quarter 4 and will go live in Quarter 1, delivering a digitally enabled community where practitioners and researchers can collaborate, create, identify, and apply evidence.

Phase 2 of our Using Evidence project, supported by the Social Care Institute for Excellence, was completed in February and the Using Evidence Steering Group met in March to discuss next steps for our provider evidence offer.

Delays with the Research Support and Engagement Framework has resulted in a RAG status of amber. The framework was approved by the Leadership Group and will be launched in Quarter 1 of 2022-23.

An additional activity included in Quarters 3 and 4 was user research commissioned from Y Lab and Nesta to inform our future approach to supporting innovation in social care. Discussions are ongoing with Welsh Government around additional funding, with potential to develop a comprehensive approach in collaboration with partners.

The proposal for funding from the National Data Resource has been agreed, supported by a Memorandum of Understanding between Digital Health and Care Wales and Social Care Wales. This work includes two additional staff to drive forward data work in social care as well as funding for a Citizens Jury looking at data sharing.

Finally, while work continues on delivering the Social Care Research and Development Strategy, it has been difficult to bring the multiple partners together to document the plan for the final phase of its implementation. Regardless of this, the work for which Social Care Wales is responsible has continued at pace, with significant developments this year in the areas of data and using evidence. We are also midway through a new research priority-setting project with Health and Care Research Wales and the James Lind Alliance, this time looking at strengths-based approaches to supporting children and families. Our intention is to document the plan for the final year of this strategy early in Quarter 1, along with a plan to co-design the next iteration of the strategy with stakeholders across social care, with a focus on people who use care and support, practitioners and researchers.

Business plan activity	Narrative	QTR 4
With Health Education and Improvement Wales (HEIW) develop longer term plans to support implementation of the workforce strategy	Annual report currently being written to reflect performance of 2021/2022 against the ambition of the workforce strategy Delivery plan to be written to reflect workplans for 2022/2023 once all business plan and PID activities are approved and signed off prior to publishing and sharing with the sector - target date will be April 2022.	
Work with Welsh Government CIW and Improvement Cymru to scope work needed to support care homes (including residential learning disability services) in the immediate and longer-term future.	Care Homes agenda has been met through as required work rather than the first thought project plan Examples of contributions through the year include: * support for the publishing and sharing of the restrictive practice guidance * contribution to the awareness raising of the flu and covid vaccination programmes * discussions with and support for the HEIW Care Home Education Facilitator (CHEF) programme to support nurse training in care/nursing homes.	
Develop the skills, capabilities and connections of those using, delivering and researching care and support in Wales	Work with a third-party supplier has helped us to develop our approach to community management with the launch of our evidence community. This has brought a step change in how we view communities and our role in supporting and enabling them. The solution was agreed and sourced in Q4, and will go live at the beginning of May, delivering a digitally enabled community where practitioners and researchers can collaborate, create, identify, and apply evidence. Phase 2 of our Using Evidence project, supported by SCIE, was completed in February and the Using Evidence Steering Group met in March to discuss next steps for our provider evidence offer.	

	Activity marked as amber due to delays with research support offer approach to evidence synthesis. Work is ongoing, but delivery will move into 2022-23 due to delays with recruitment during the year.	
Delivering the Social Care Research and Development Strategy	While work continues on delivering the Social Care Research and Development Strategy, it has been difficult to bring the multiple partners together to document the plan for the final phase of its implementation. Regardless of this, the work for which Social Care Wales is responsible has continued at pace, with significant developments this year in the areas of data and using evidence.	

Priority 4 - Our own workforce

Performance Indicators / Milestones / Outputs	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Staff sickness levels	2.83%	2.51%	2.3%	1.78% This is the figure for the whole year	3% (Excluding long term absence)
Staff engagement level	N/A	N/A	90%	90%	80%
Timely laying of Statutory Annual Accounts	N/A	August 2021	N/A	N/A	August 2021
Internal audits receive substantial or moderate assurance	N/A	N/A	100%	92%	90%
External accreditation awarded or maintained: • ISO 27001 • Disability Confidence	Maintained Level 1 awarded	Maintained Level 1 awarded	Maintained Level 1 awarded	Maintained Level 1 awarded	Maintained
Budget forecast	No Budget overspend predicted / cash balance below 2% predicted	No Budget overspend predicted / cash balance below 2% predicted	Budget underspend in region of £700k predicted (pension payment of £350k to be made dependant on permission by Sponsor. This will ensure cash balance of less than 2% at the end of the financial year	No Budget overspend and cash balance below 2%	No Budget overspend and 2% cash target at end of year to be achieved

Performance Commentary
Maintaining our status with the Level 1 of the Disability Confident Scheme confirmed our status of being 'Disability Confident Committed', subsequently several adjustments have been made to our

recruitment processes which have already been requested and utilised. Additionally, in partnership with the Equality, Diversity and Inclusion working group, we identified an additional activity to pursue as the final commitment at this level and will be actioning this in conjunction with activities set out in our new Learning and Development Strategy.

The new 5-year Learning and Development Strategy has been developed, setting our corporate learning prioritise for the next 5 years and a set of programmes and activities to support delivery. This was approved at EMT on 11 April. Whilst the Hybrid Working policy has been approved by EMT and work is ongoing on its effective implementation.

Due to staff sickness, we are yet to receive our external audit plan for the 2021/22 accounts from Audit Wales. Regarding our Internal Audits, 11 out of 12 audits received moderate or substantial assurance with the other providing limited assurance.

Furthermore, it was noted that there was no budget overspend for the year and the cash balance remained below 2%.

Business plan activity	Narrative	QTR 4
Revise and implement the 3-year ICT strategy to support the achievement of the business plan	Firewalls configured but before implementation further testing requires as issues with regards compatibility with Skype for Business. The ISO 27001 in Jan 22 found only one minor nonconformity while the Internal Audit conducted in quarter 4 reported ten findings (six medium, s minor and one observation). The IT general controls audit reported moderate assurance in respect of three elements of the audit but limited assurance in respect of Network Security	
Ensure strong governance and accountability arrangements through the effective management of the Board and Committees	Board and Committee meetings held during Q4 to standards: Board 3 February; Audit and Risk Committee 17 March; Improvement Committee 16 March; Regulation and Standards 17 March; Remuneration Committee 3 & 24 March. Board development sessions held in January, February and March - March session focussed on Board and Committee effectiveness during 2021-22. Board recruitment - final interviews held on 15 February, however as at end of Q4 we are still awaiting an announcement on any new Board members and start Q1 2022-23 with 13 Board members, as 2 members finished their terms on 31 March 2022.	
Maintain compliance with statutory organisational requirements and organisational standards	During the last quarter we have had Internal Audit reports on this area - Data Protection, IT, Follow up recommendations. These have been scrutinised by our Audit and Risk Committee. A number of the recommendations from these reports relate to evidencing actions completed, updating policies and overseeing completion of relevant training. As a result, we have introduced a number of internal controls - organisational policy register; organisational policy review cover paper; one action plan capturing all Internal/External Audit actions for review, monitoring and update at the relevant programme board and monthly leadership group. This	

	requires further development to make sure we follow up on actions identified and have clear lines of accountability on roles and responsibilities. This work will continue into 22/23.	
Maximise our digital offer across all of our business	During the last quarter we have continued to progress a number of developments which will provide the building blocks for our future digital transformation. The road map on recommendations outlining what is needed for our current systems to support digital developments underpins our digital strategy which was approved by leadership group in February and launched to all staff. Discussions have been held with the Centre for Digital Public Services (CDPS) on how they can support the training needs for us. The immediate training needs have been captured within the first year of our learning and development plan. We have commissioned a third party to work with us on rolling out the new SharePoint system. This along with the work on rolling out Teams; commissioning enquiry handling system; recruitment of a digital architect and recruitment of the Digital team will carry forward into 22/23.	

Budget Report for the period to 31 March 2022

This is the final budget monitoring quarterly report for the financial year 2021-22. The report covers income and spend for the full financial year to 31 March 2022. The report is based on a total annual budget of £25,464,000. This is financed from £23,251,000 Grant in Aid (including £410k internal carry forward), £1,405,000 registration fee income, £60,000 Apprenticeship certification income and £66,000 in relation to our Workforce Strategy Mental Health Work. In addition, mid-year additional funding from Welsh Government was secured for the WeCare campaign and for recovery funding to support Social Care Workforce Wellbeing totalling £625,000 with an additional £57,000 received of Foundation Economy funding for the Introduction to Social Work Training programme

A high-level summary of performance for the financial year is reported below and a more detailed approach is also attached: -

Financial Summary to 31 March 2022

	Annual Budget	Actual YTD	Budget YTD	Variance
	£'000	£'000	£'000	£'000
Income	25,464	25,545	25,464	81
Expenditure				
Grants Programme	11,699	11,649	11,699	50
Workforce Regulation	4,649	4,136	4,649	513
Improvement and Development inc Res and Data	4,500	4,734	4,500	(234)
Early Years and Childcare	345	432	345	(87)
Strategy and Business Support	4,271	4,126	4,271	145
Totals	**25,464**	**25,076**	**25,464**	**388**

Income Analysis

Income	Annual Budget £'000	Actual YTD £'000	Budget YTD £'000	Variance £'000
Grant In Aid	23,251	23,251	23,251	-
We Care-Additional funding	160	149	160	(11)
Wellbeing-Addditional funding	115	76	115	(39)
We Care-Addditional funding	350	350	350	-
Additional Funding - HFE	57	57	57	-
Apprenticeship Certificate Income	60	32	60	(28)
Registration Fee Income	1,405	1,553	1,405	148
Mental Health Workforce	66	66	66	-
Other Income	0	11	-	11
Total Income	**25,464**	**25,545**	**25,464**	**81**

£81k of Income has been received more than budgeted in the financial year. This predominately relates to Registration Income being higher than profiled and is due to a significant amount of income received from debtors in November and December 2021. Although the budget was calculated with an allowance for income from debtors the amount received has been significantly higher. In addition, applications from Adult Care Home Workers has been greater than anticipated. However less income than budgeted was received in relation to Apprenticeship Certification Income and less additional funding was required in relation to our Wellbeing work. Therefore, in totality income was £81k greater than budgeted.

Expenditure Analysis

As at the end of the financial year there was an underspend of £388k against budget. The underspends in the Workforce Regulation, Strategy and Business Support and Grants Programme budgets were reduced by overspends in the Improvement and Development and Early Years and Childcare budgets. Analysis in respect of the main headings is provided below: -

Expenditure	Annual Budget	Actual YTD	Budget YTD	Variance
	£'000	£'000	£'000	£'000
Grants Programme				
SCWWDP	7,149	7,149	7,149	-
People Using Services and Carers	70	53	70	17
Regional Facilitation	782	1,172	782	(390)
Student Funding	2,235	1,850	2,235	385
PLOF	1,326	1,237	1,326	89
SfCD	14	14	14	-
Research	123	174	123	(51)
Sub-total	**11,699**	**11,649**	**11,699**	**50**

- The Grants Programme shows an underspend of £50k with underspends in the Student Funding (Bursaries) and Practice Learning Opportunity Funding budgets (PLOF) but reduced by overspends in the Regional Facilitation grant and Research budgets. The underspend of £385k in the Student Funding budget reflects that only 174 bursaries have been awarded from the 228 available. In addition, due to the low number of students on the Social Work programmes the PLOF budget was also underspent.
- The Regional Facilitation Grant budget was overspent by £390 and reflects the decision made to allow bids from the Regions in respect to current issues in the sector and improve long term resilience. In addition, additional investment in our Research work led to an overspend of £51k in the Research budget.

Expenditure	Annual Budget	Actual YTD	Budget YTD	Variance
	£'000	£'000	£'000	£'000
Workforce Regulation				
Administration	85	72	85	13
Hearings	1,128	666	1,128	462
Projects	369	232	369	137
Salaries	3,067	3,166	3,067	(100)
Sub-total	**4,649**	**4,136**	**4,649**	**513**

- The Workforce Regulation budget has a £513k underspend with the majority of the underspend relating to the Hearings Budget. The £462k underspend reflects that activity was significantly lower than budgeted.
- The underspend in the projects budget reflects slower progress on the Regulation reform project than planned with only £55k of the original budget of £200k spent
- The Salaries budget is overspent by £100k and primarily reflects its allocation of the £350k lump sum deficit payment made into the pension scheme and the cost of a 2% pay award which was not budgeted for.

Expenditure	Annual Budget	Actual YTD	Budget YTD	Variance
	£'000	£'000	£'000	£'000
Improvement and Development				
Administration	45	24	45	21
Intelligence and Data Admin	6	0	6	6
Projects	2,000	2,384	2,000	(384)
Salaries	2,449	2,325	2,449	124
Sub-total	**4,500**	**4,734**	**4,500**	**(234)**

- The Improvement and Development budget was overspent by £234k primarily due to a £384k overspend of in the Projects but reduced by an underspend in the Salaries budget.
- The overspend in the projects budget of £384k reflects additional investment as part of our continued response to current issues within the sector and improve long term resilience in the sector including an additional internal investment of in the WeCare campaign.
- The Salaries budget was £124k underspent at the end of the financial year. This reflects that there were savings in the budget due to delays in recruitment and not recruiting into posts but reduced by the 2% pay award and its allocation of the pension lump sum payment.

Expenditure	Annual Budget	Actual YTD	Budget YTD	Variance
	£'000	£'000	£'000	£'000
Early Years and Childcare				
Projects	124	238	124	(114)
Salaries	221	193	221	28
Sub-total	**345**	**432**	**345**	**(87)**

- The Early Years and Childcare was overspent by £87k due to the overspend in the projects budget reflecting the Earl Years advertising and Media campaign in March 2022. The Early Years funding still remains at £345k but permission was received by Sponsor division to use the social care core grant in aid to fund this overspend.

Expenditure	Annual Budget	Actual YTD	Budget YTD	Variance
	£'000	£'000	£'000	£'000
Strategy and Business Support				
Premises	602	578	602	24
Governance	98	79	98	19
Communications	113	120	113	(8)
Carreg and IT	617	690	617	(73)
Finance & Grant Admin	10	1	10	8
Human Resources	118	152	118	(34)
Projects	308	253	308	55
Salaries	2,407	2,252	2,407	155
Sub-total	**4,271**	**4,126**	**4,271**	**145**

- Strategy and Business support shows an underspend of £145k with major underspends in the Salaries budget of £155k and the projects budget of £55k. The Salary underspend reflects vacancy and delays in recruitment in particular in respect of the Communications department but reduced by the 2% pay award and its allocation of the pension lump sum payment
- The underspend in the projects budget reflects that a milestone payment in relation to the Digital learning project will now take place now in 22-23.
- The overspend in the Carreg and IT budget reflects increased investment in the Carreg budget and the overspend in the Human Resources budget reflects additional costs in relation to recruitment.

At the end of the financial year income was greater than expenditure by £469k but despite this underspend we were still able to meet our 2% cash balance at the end of the financial year through good cash management. It is now planned to make an internal carry forward of £450k into the 22-23 budget.

Financial Summary to 31 March 2022

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People Using Services and Carers	70	53	70	17
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SfCD	14	14	14	-
Research	123	174	123	(51)
Sub-total	**11,699**	**11,649**	**11,699**	**50**
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Administration	85	72	85	13
Hearings	1,128	666	1,128	462
Projects	369	232	369	137
Salaries	3,067	3,166	3,067	(100)
Sub-total	**4,649**	**4,136**	**4,649**	**513**
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Administration	45	24	45	21
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Finance & Grant Admin	10	1	10	8
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Projects	308	253	308	55
Salaries	2,407	2,252	2,407	155
Sub-total	**4,271**	**4,126**	**4,271**	**145**
Total Expenditure	**25,464**	**25,076**	**25,464**	**388**

HR End of year performance dashboard

Key points achievements	**Priority focus for 22-23**
• We are now recognised as a disability confident committed employer • We have developed and agreed a new hybrid working policy to support our future ways of working • We achieved an engagement score of **90%** in our annual people survey (and a return rate of 86%) • We have developed a new 5-year Learning and Development Strategy • We have recruited and welcomed 40 new employees to the organisation this year.	• Implementing year 1 activities from our L&D Strategy • Undertake a review of our job evaluation scheme • Implement our policy review schedule • Develop a Health and Wellbeing Strategy • Review implementation of the revised PDP process • Supporting further recruitment to the organisation by working in partnership with an external provider
Staff turnover	**Staff absence**
Our year-to-date turnover rate is 9% Our target turnover rate is to remain under 15%. We had 14 leavers this year.	We have stayed within our <3% target for absences excluding long term sickness. Our overall absence rate is 4.62% Total excluding long term absence is 1.78%.
Recruitment:	
We have advertised 82 vacancies this year (including 6 re-advertisements), with an average application rate of 5.4 per vacancy.	

Gofal Cymdeithasol Cymru
Social Care Wales

CYFARFOD / MEETING	**Board meeting**				
	PREIFAT / PRIVATE			**CYHOEDDUS / PUBLIC**	
	☐			☒	
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA/ AGENDA ITEM	**10**				
TEITL / TITLE SCW/22/13	**Independent Pay and Reward Benchmarking Review – Remuneration and Committee Decisions**				
AWDUR / AUTHOR	Mick Giannasi, Chair of the Board and Chair of Remuneration Committee				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	(i) Contextual Factors Considered by the Committee *(attached at Appendix 1)* (ii) Hays Recruitment Experts Pay Benchmarking Report *(available on the portal as background information)*				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	Priority theme 4 - Be an Effective and Transparent Organisation				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	☐	☐	☐	☐	☒
ARGYMHELLIAD / RECOMMENDATION	Members are invited to **scrutinise** and **support** the decisions made the Remuneration Committee in respect of issues arising from the Independent Salary Benchmarking Review conducted by Hays Recruiting Experts as follows: (i) seek approval to re-align the pay spine points for grades C2 and D as set out in the attached report; (ii) establish a review of the Job Evaluation scheme operated by Social Care Wales as the first stage of a full review of the				

	remuneration framework which will ensure that the pay and reward strategy is fit for purpose in the longer term; (iii) amend the terms of Reference of the Remuneration Committee to establish participating observer status for the Chair of the Staff Partnership Council. If following scrutiny, the decisions made by the Committee are supported by the Board, the Chair will then seek the necessary agreement from our Welsh Government Sponsor and the Public Bodies Unit prior to implementing the proposed changes, particularly those relating to senior staff pay. The attached paper provides a summary of the principles adopted, the decision-making process followed, and the decisions reached by the Committee to address the issues raised by the pay benchmarking exercise, particularly those related to achieving a fair and equitable approach across the whole of the workforce.
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED **MAIN POINTS: KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER**	Following the recruitment challenges experienced by the organisation during 2021/22, the Remuneration Committee agreed to the commission an independent pay and reward benchmarking review to advise the organisation of its market competitiveness. The review was designed to provide due diligence in the exercise of the Board's responsibility to set a pay policy that enables the organisation to achieve its corporate objectives. The independent benchmarking report, which was produced by Hays Recruitment Experts, provided a reasonable level of assurance as to the market positioning of the majority of Social Care Wales pay scale. However, the report reconfirmed the findings of a similar exercise completed in 2018 which indicated that remuneration for the organisation's most senior managers is significantly out of step with benchmark comparators and that this gap has grown in the intervening period (no remedial action was taken following the 2018 report). The paper highlights a range of contextual factors and supporting information which was considered by the Committee (see appendix 1). It also sets out the rationale for the decision reached by the Committee to realign pay at these grades, taking into account the principles of equity and fairness in the context of the organisation as a whole.

	In addition to addressing the pay inequity issues for senior staff grades, the Committee recommended that in the medium to longer term, there should be a wider review of the organisation's existing remuneration framework, recognising that this will be a significant and complex task which will require engagement from key stakeholders and the workforce. However, the CEO was asked to initiate a review of the existing job evaluation scheme as a first step in that process based on the learning from the Benchmarking exercise and the feedback from the recent staff survey and Board listening exercises. The Chair of the Staff Partnership Council was invited to observe the presentation of factual evidence by officers to the Committee and to hear the rationale for the Committee's decisions. This led to a wider conversation about the involvement of workforce representatives in Remuneration matters which were also re-enforced by members during the recent annual Board Effectiveness Review. On that basis, the Committee recommends that the terms of reference of the Committee are amended to enable this to be adopted as a standard practice going forward. It should be noted that changing the terms of reference of the Committee is a reserved matter and as such, the decision will need to be ratified by the full Board (on agenda – item 13 for discussion and approval). It should also be noted that the Executive Management Team (EMT) members have supported the Remuneration Committee by providing factual information and clarifying options. However, they did not participate in the Committee deliberations and left the meeting whilst the considerations and decisions were made. The minutes of the meeting, which are available for members to view on the Portal, record their declaration of interest.
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	All proposals included within the paper are based on achieving the continued application of an equal pay policy. There are some sensitivities around senior management pay, particularly in the current environment. It is therefore important that decisions made by the Committee and supported by the Board are evidence based and that the rationale for making them is clear and defensible in the event of subsequent challenge. It is also important that such matters are dealt with in an open and transparent way through the appropriate channels.

Independent Pay and Reward Benchmarking Review

Decisions Reached by The Remuneration Committee

1. Responsibility and Approach to Determining Pay and Conditions

1.1 Social Care Wales is responsible for independently determining the pay and conditions of its workforce. In discharging this responsibility, the Board has delegated authority to the Remuneration Committee to ensure that the organisation:

- operates a fair and equitable scheme for determining equal pay;
- has determined a job evaluation scheme to apply equal pay and attribute roles into pay bands;
- has determined pay ranges to apply to each band;
- periodically tests the market to ensure that Social Care Wales is competitive as an employer.

1.2 The aims of this approach are to support:

- fair and equitable recognition and reward to retain current employees;
- the attraction and recruitment of new employees;
- creating, supporting and retaining a highly skilled and valued workforce.

1.3 Pay and reward is determined by the Remuneration Committee, under delegated authority from the Board. However, the matters set out in this paper, particularly those related to senior staff pay, are significant and likely to attract both external and internal scrutiny. They will also, in substantial part, require the agreement of our Sponsor and the Welsh Government before they can be implemented. For that reason, the Committee felt that it was important to open up its decisions to the scrutiny of the full Board and to seek the support of all members for the action which is proposed.

1.4 The Remuneration Committee has considered the matters covered by this paper based on factual evidence provided by officers. However, as was appropriate, officers declared a conflict of interest and the Committee's deliberations and all decision making was conducted 'in camera'.

1.5 This paper sets out the decisions reached by the Committee and the rationale on which they were based.

2. Independent Advice to Social Care Wales on Pay and Reward

2.1 To support the above objectives, Social Care Wales periodically commissions an independent pay and reward benchmarking report to assess the market comparability of the pay structure.

2.2 The last benchmarking report was produced in 2018 by Hays Recruitment Experts (Hays). The 2018 report identified some roles within the organisation that were not paid in line with market ranges. Disparities related to grades A1 to B2 inclusive within the structure (see below) were addressed at that time. The pay grades for senior managers were also identified as being significantly below market rates. However, a decision was taken by the Committee not to seek any realignment of these grades at that time.

2.3 Following challenges experienced during the 2021/22 financial year in recruiting to vacant posts (members will recall that they were briefed periodically about these as part of the CEO's regular briefings) the Committee agreed to commission a further independent benchmarking review on pay and reward. The review was commissioned to advise the organisation of its market competitiveness, thereby ensuring due diligence in the exercise of the Board's responsibility to determine a fair and equitable pay policy which enabled the organisation to achieve its corporate objectives.

2.4 Hays was appointed to conduct the review under a single source tender as they had prior knowledge of the organisation and its pay and reward structures from the extensive market research which they undertook in 2018. Their appointment also ensured consistency of approach and common methodologies between the two reviews.

2.5 The 2021 Hays report has been prepared following an extensive, independent review of pay and reward data combined with industry intelligence and market information against specific peers and relevant comparable organisations. Further details about the methodology used are contained within the Hays report.

2.6 A total of 382 data sets were gathered for the market sample. The benchmarks were correlated to Social Care Wales by sector, size and scope of the organisation and the nature of the roles/grades looking at the job responsibilities and remit. As such, the report provides a credible, independently derived and comprehensive evidence base for decision making which will stand scrutiny if challenged.

3. Hays Benchmarking Report 2022: A summary of Findings By Grade

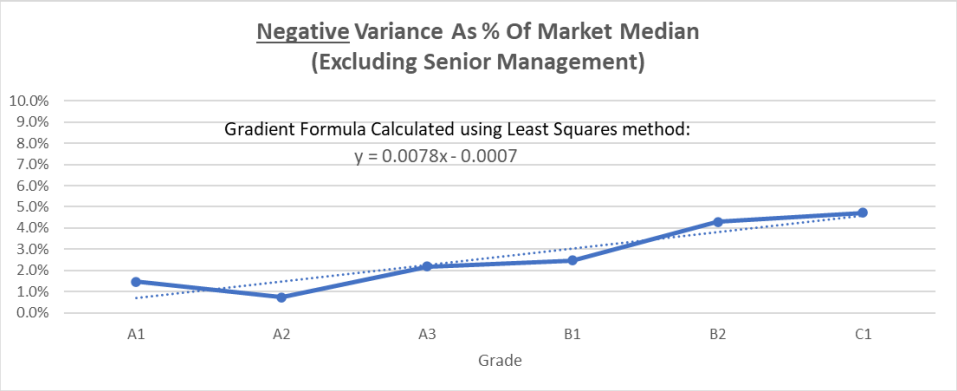
3.1 Members will be aware that the Social Care Wales pay framework is based on a 25 point pay scale separated into 9 grades, designated A1, A2, A3, B1, B2, C1, C2, D and CEO in order of increasing seniority.

3.2 For each of the grades (A1, A2, A3, B1, B2, C1, C2 and D) there is then a range, consisting of three pay points which can be awarded incrementally based on skills, experience and satisfactory performance.

3.3 For the sake of clarity in the explanation which follows, the C2 grade relates to Assistant Director level posts of which there are seven within the staffing establishment. The D grade relates to the three Director posts.

3.4 The 2021 Hays benchmarking report is based on March 2021 pay levels. The chart below shows that the pay ranges for grades A1 to C1 inclusive were reasonably closely aligned to the market median pay rates identified by Hay, with a slight increase in divergence below market rates progressing upwards through the grades. Overall divergence ranges from 0.74% to 4.72%. The CEO's salary also falls within that range.

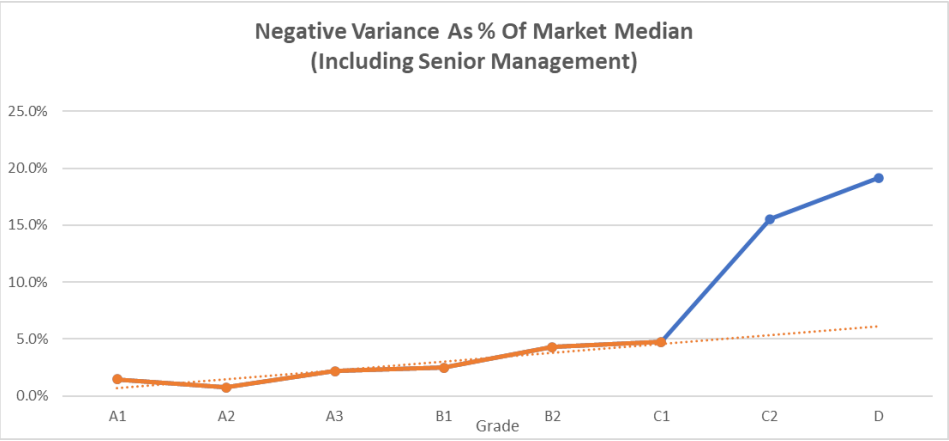
3.5 In other words, our pay is reasonably close to the market median for the majority of our staff but the more senior you become in Social Care Wales, the more your pay falls behind the market average, albeit marginally for the majority of staff.



3.6 The dotted line in the chart above shows the calculation of the best fit trend line that reflects this gradual widening of the salary gap progressing up through the grades, taking the midpoint of the pay scale as the comparator.

3.7 When this trendline is extrapolated forward and the C2 and D grades are added (as shown in blue on the chart below), it becomes clear that our senior managers are not currently being treated equitably with the rest of the workforce.

3.8 The Hays report identifies a substantial variance below the market median for senior management grades of 15.5% at grade C2 (Assistant Director) and 19.2% at grade D (Director).



3.9 On the basis of this analysis, the Committee concluded that purely on an internal basis, there was clear evidence of inequity within the existing pay structure for senior managers that was both significant and long standing.

3.10 In addition to considering the detailed information contained within the Hays report, the Committee also considered a significant amount of contextual information which was provided by officers to support members deliberations. This information is set out in detail in the papers which were presented to the Committee but is summarised in Appendix 1 for information. Having considered this wider contextual information, the Committee concluded that:

- the disparity which existed within the current pay structure for senior managers was inequitable and longstanding and needed to be addressed in the short term as a matter of fairness;
- although it was a secondary consideration, the disparity also created a potential risk for the organisation in terms of retaining and attracting senior leaders of the right calibre in the future;
- in the longer term, there is a need to fundamentally review the organisation's remuneration framework to ensure that there is an effective mechanism to enable staff pay to remain competitive and responsive to changes in market conditions whilst ensuring parity with comparable organisations, possibly 'pegging' the organisation to a collective bargaining arrangement;
- there were a number of ongoing issues which needed to be reflected in any review, including the ambitions within the workforce strategy to achieve parity between health and care staff and Welsh Government ambitions to align the lowest spine points within the grading structured for Welsh Government Sponsored Bodies (WGSBs), which meant that this would take some time to progress;
- as a first step in developing a revised pay framework, the CEO should initiate a review of the Social Care Wales job evaluation scheme based on feedback which indicated a degree of dissatisfaction amongst staff and managers about the relevance and effectiveness of the current scheme.

3.11 In terms of addressing the disparity in the pay for senior management posts, the Committee recognised that;

- any decision to recommend a realignment of senior management pay, particularly in the current environment, could be a contentious issue and would need sensitive handling and transparency of approach;
- the Committee would need to provide a clear rationale for their decisions, particularly in relation to the level at which any increase in the level of senior management pay should be set;
- in seeking to address the current disparity, care should be taken to ensure that any increases in pay awarded now did not conflict with the impact of any changes to the organisation's remuneration framework which were introduced in the medium to longer term.

3.12 In seeking to determine the level of pay which should be recommended to address the disparity in the two most senior pay grades, below the CEO, the Committee recognised that given the variation and complexity in the comparator data set and the fact that in general terms, Social Care Wales was pitched below the median, simply using the market median identified by Hays was not an appropriate way to address

the issue. As such, the Committee asked officers to provide a more focused sub-set of the information used by Hays in order to inform their decision-making process.

3.14 This included for example, more focused information about pay scales and relative levels of responsibility at similar grades in other organisations (WGSBs, other regulatory bodies, the civil service, local government, etc.) together with information about the scope and scale of key comparator organisation (for example operating budgets, staffing establishments, core responsibilities, etc.).

3.15 Having adjourned for this information to be gathered and re-convened to consider what value it added, the Committee concluded that there was so much variation that it was difficult to make meaningful comparisons which would enable an objective decision to be made about the levels of pay that should be recommended.

4. Agreed Approach

4.1 After considering a range of options, the Committee developed and agreed a more quantitative methodology for assessing what should be proposed in terms of realignment of the senior management grades based on the principle of achieving equity and fairness at an organisational level and the evidence provided by Hays.

4.2 To recap, the Hays review identified that in broad terms, Social Care Wales rates of pay are marginally below the midpoint of the market median for similar roles. Other than, with the notable exception of C2 and D grades, these are generally within 5% of the market median.

4.3 The Committee agreed that the most appropriate way to address this marginal disparity for the workforce as a whole was to review our remuneration framework and job evaluation schemes more broadly. This is particularly so, given that there are other external processes ongoing which need to be factored in and a significant amount of stakeholder consultation will be required.

4.4 In due course, that approach will enable Social Care Wales to put in place a framework which provides fair and equitable pay and reward for all of our staff and ensure that our pay mechanisms are ‘pegged’ to other comparable organisations so that we maintain broad alignment going forward.

4.5 Against that background, the Hays Review has also identified two other factors:

i. that whilst pay for the workforce as a whole is slightly below the market median, the variance generally increases incrementally further up the pay scales (i.e., it tapers outwards)
ii. the disparity becomes disproportionate when it gets to the C2 and D grades, not only in terms of the market but also internally (in other words our senior managers are paid increasingly less equitably than the rest of our workforce the more senior they become).

4.6

The Committee agreed that this significant and long-standing disparity for senior staff needed to be addressed in the short term whilst the longer-term work is undertaken to review the remuneration framework as a whole.

4.7 To determine what adjustments should be made for the C2 and D grades, a rationale was required which is both logical and defensible as well as pragmatic. There was consensus that it would be unhelpful to uplift the rates of pay now only to find that they are too high when the revised framework is established.

4.8 There were various options for doing this by looking to identify a specific segment of the market identified by Hays which was more directly comparable to Social Care Wales. However, there would always be an element of subjectivity in that approach and the arguments for and against which organisations should be included in the focused comparator group would always be open to debate and question.

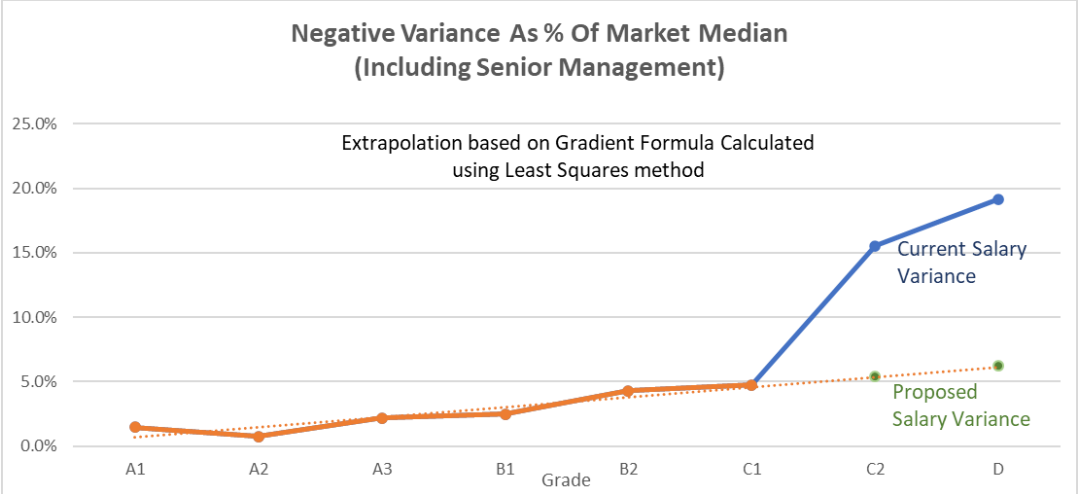
4.9 Another way to look at this was to use the information which Hays has provided as the means of levelling up internally or in other words by ensuring that our most senior managers are paid equitably in relation to the rest of the workforce whilst we determine a way to ensure that the whole workforce is paid equitably when compared with the market.

4.10 On that basis, the Committee agreed that the median pay of the senior management grades should be adjusted so that they were positioned on the extrapolated line of best fit (as determined by the grades A1 to C1). By adopting this approach, it was agreed that the C2 grade would be set 5.39% below the market median and D1 grade would be set 6.17% below the market median, reflecting the widening gap compared to the market previously highlighted.

Table: Calculation of Equitable Basis For Senior Management Salary Based on Whole Workforce Salary Benchmarking

Grade	Current mid Point (31.3.2021)	Market Median (Hays Report)	Negative Variance to Market Median	Equitable Variance Based on Trend Line formula
A1	22,036	22,366	1.48%	
A2	26,092	26,285	0.73%	
A3	30,574	31,258	2.19%	
B1	36,684	37,612	2.47%	
B2	42,802	44,722	4.29%	
C1	49,912	52,386	4.72%	
C2	53,495	63,331	15.53%	5.39%
D	73,369	90,750	19.15%	6.17%

4.11 This is also shown numerically in the table above and graphically in the chart below.



Applying the methodology agreed by the Committee, the table below sets out the restated spine points for senior management grades based on the principle of the equitable assessment of variation from the market midpoint.

4.12

Grade	Current mid Point (1.4.2021)	Market Median (Hays Report)	Negative Variance to Market Median	Equitable Variance Based on Trend Line formula	Equitable Restatement	Uplift
C2.1	50,392				56,442	6,050
C2.2	53,495	63,331	15.53%	5.39%	59,917	6,422
C2.2	56,597				63,392	6,795
D1.1	69,110				80,208	11,098
D1.2	73,369	90,750	19.15%	6.17%	85,151	11,782
D1.3	77,627				90,092	12,465

4.13 The Committee also agreed that where managers are currently on the top of the existing scale, then their salary should be restated to the midpoint of scale (rather than the restated top of scale), thereby phasing in the increase in pay over a two-year period. This would provide for a more 'cautious' approach to introducing the new scales and provide for year-on-year progression.

The restating of the first point of the scales will provide flexibility to accommodate new appointments that are made going forward.

4.14 The Hays pay and reward benchmarking exercise is based upon pay rates as at 31 March 2021. The proposal would therefore reset salaries at that date, which would then be subject to the annual cost of living increase of 2%, awarded to all Social Care Wales staff from that date to align them to rates as at 1 April 2021. This would impact

4.15 as set out in the table below.

Grade	Equitable Restatement as at Mar '21	21/22 Pay Award 2%	April '21 Realigned Salary
	£	£	£
C2.1	56,442	1,129	57,571
C2.2	59,917	1,198	61,116
C2.2	63,392	1,268	64,660
D1.1	80,208	1,604	81,812
D1.2	85,151	1,703	86,854
D1.3	90,092	1,802	91,894

All changes to pay and conditions requires approval from our Welsh Government Sponsor and Public Bodies Unit prior to implementing any proposed changes before they can be implemented.

4.16

5. Recommendations

5.1 Members are asked to **scrutinise and support** the decisions reached by the Remuneration Committee in respect of the independent salary benchmarking review conducted by Hays Recruiting Experts as set out below:

(i) seek approval to re-align the pay spine points for grades C2 and D as set out in the attached report;

(ii) establish a review of the Job Evaluation scheme operated by Social Care Wales as the first stage of a full review of the remuneration framework which will ensure that the pay and reward strategy is fit for purpose in the longer term;

(iii) amend the terms of Reference of the Remuneration Committee to establish participating observer status for the Chair of the Staff Partnership Council.

5.2 If supported by Board, the Chair will seek the required agreement from our Welsh Government Sponsor and Public Bodies Unit prior to implementing any proposed changes.

Appendix 1

Hays Pay and Reward Benchmarking Exercise
Contextual Factors Considered by the Remuneration Committee

1. Changing Nature of the Organisation

Since 2018, there have been significant changes in the scale, remit and complexity of the organisation. This is reflected in increasing budgets, a growing establishment and a significant expansion in the size of the Register. This growth is highlighted in the table below:

	2022/23 Budgeted	%Change since 2018/19	2021/22 Forecast	%Change since 2018/19	2018/19 Actual
Total Income	£28.5m	42%	£25.5m	27%	£20.1m
No of Registrants	55,000	302%	35,000	155%	13,683
Employees	188	69%	(Jan 22) 159	43%	111

2. Wider Employment Market Conditions

As the remit of Social Care Wales is growing, we are increasingly seeking to attract a broader range of specialist skills. There are nationally recognised shortages in a variety of specialist areas as well as increased pressure on social care workforce numbers and senior experience.

The widespread adoption of remote working has changed the dynamics of employment markets, opening up a wider range of opportunities for employment and improved salaries. EU exit and the pandemic have reduced international labour availability with a consequential impact on UK resident workforce availability.

More business generic specialist skills (for example data, ICT, marketing and communications) are subject to wider market forces. Shortages and pay pressures are being experienced in many of these areas and reported by many other employers, especially by public sector organisations.

3. Recruitment, Retention and Succession Planning

We have experienced a drop in the number of applicants for roles and increased difficulty in recruiting for specialist roles over the last 12 months. A number of managers have notified us of their intention to retire during the 2022, which limits the potential for succession into Assistant Director and Director roles and we anticipate difficulties in recruitment.

4. Alignment Aspirations with Partner Organisations and other Government Sponsored Bodies

The vision within *A Healthier Wales: Our Workforce Strategy for Health and Social Care* includes an action to ‘work towards fair reward and recognition across the health and social care workforce’ with an aspiration to achieve parity in reward between health and social care.

Hays Pay and Reward Benchmarking Exercise
Contextual Factors Considered by the Remuneration Committee

Our principle strategic partners with whom we are working to achieve our strategic plan outcomes are Local Government and the NHS. Our work aligns particularly with the agendas of these partners. They also represent our key markets in which we are competing to recruit and retain staff with social care sector specific skills.

5. Employee Engagement, Pay and Reward

We have recently published our staff survey results with an excellent overall engagement score of 90.2%, an increase from 72% in 2019. The weakest area in the survey was with respect to pay and reward. Although 89% of staff are happy with the total benefits package, only 66% feel that their pay adequately reflects their responsibilities and only 68% feel that their pay is reasonable compared to people doing a similar job in other organisations.

There are no recognised staff collective bargaining agreements in place for Social Care Wales. The Staff Partnership Council is used as the engagement mechanism with staff across the organisation and a meeting has been held between the Chair, Chief Executive and the Council to share the outcomes of the benchmarking review. The Chair of the Staff Partnership Council was also invited to observe the Remuneration Committee evidence gathering session with officers at its meeting on 24 March 2022.

6. Retention and Recruitment Risk

We recognise, that in order to attract and retain a high calibre senior management team, our offer to existing employees and prospective candidates should be competitive. We wish to treat existing and prospective employees with equal fairness.

7. Scrutiny

We acknowledge that any change to senior pay requires strong due diligence and must be capable of scrutiny and challenge.

8. Welsh Government Pay Parity Exercise

The Welsh Government are progressing a Pay Parity exercise involving a range of WGSBs, including Social Care Wales, focusing on equalising pay scales at their lowest spine points that when compared to Welsh Government Civil Service pay scales. Current proposals would impact on the first spine point of A1, A2, B2 and C1 grades.

Discussions on a wider alignment of job evaluation and pay currently remain aspirational. However Social Care Wales would likely be included in future proposals.

Appendix 1

Hays Pay and Reward Benchmarking Exercise
Contextual Factors Considered by the Remuneration Committee

9. Comparative Data

To enable the committee to explore options for a way forward, information was provided on Welsh Government, Local Government and NHS pay scales as well as comparator organisation budget and staffing levels and senior salary comparators to provide further context to the anonymised data in the Hays Report.

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CYFARFOD / MEETING	**Board meeting**				
	PREIFAT / PRIVATE		**CYHOEDDUS / PUBLIC**		
	☐		☒		
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA AGENDA ITEM	**11**				
TEITL / TITLE SCW/22/14	**Annual Review of Board and Committee Effectiveness for 2021-22**				
AWDUR / AUTHOR	Mick Giannasi, Chair Llinos Bradbury, Board Secretary				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – Questionnaire for 2021-22 Appendix 2 – Results of the Questionnaire Appendix 3 – Jamboard Outputs Appendix 4 – Strengthening Corporate Governance Action Plan				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	Priority Theme 4: Enabling Social Care Wales to Deliver				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	☐	☐	☐	☒	☐
ARGYMHELLIAD / RECOMMENDATION	Board members are invited to: (i) discuss the outcome of the annual review of Board and Committee Effectiveness for 2021-22; and (ii) consider whether any of the proposals which emerged from the effectiveness review (as outlined in section 3.1) should be developed into actions and added to the Strengthening Corporate Governance Action Plan.				

PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED **MAIN POINTS: KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER**	The 2021-22 annual review of Board and Committee Effectiveness was conducted by way of an externally facilitated group discussion based on the analysis of individual feedback provided by members through a structured questionnaire completed in advance. This analysis, combined with the product of a 'stop, start, continue' exercise which was also completed in advance by members, was used to identified key strengths to build on and opportunities for further improvement which informed the group discussion process. The key themes and issues which emerged through the group discussions were then captured using a Jamboard and a range of potential opportunities to further improve the effectiveness of the organisation's corporate governance arrangements were identified. Members are invited to discuss the outcomes of the review and to agree which if any of the proposed opportunities they would wish to take forward. It would seem logical that any actions which are agreed should be added to the rolling 'Strengthening Corporate Governance' action plan which was established following a similar review in 2020.
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	No impact assessments have been undertaken at this stage. Depending on the outcome of the discussions which take place, impact assessments may then be required.

Annual Review of Board and Committee Effectiveness – 2021/22

1. Context

1.1 At a meeting of the Board in April 2021, it was agreed that it would be timely to refresh the way that the Board conducts its annual review of Board and Committee Effectiveness. The refresh was agreed on the basis that the responses received from the anonymised member surveys had been broadly similar over the previous three years and the number of identifiable actions for improvement had been limited.

1.2 The Chairs Coordinating Group was asked to explore alternative approaches and a task and finish group was established to take this forward. Having considered how other organisations approach their effectiveness reviews and looked at a range of options, the task and finish group concluded that: -

- the preferred option was to conduct the review though a structured group discussion;
- that this should preferably be facilitated by an external professional who knows the organisation and its values;
- the agenda for the discussion should be shaped by a focused questionnaire sent out in advance.

1.3 The review of the Board's effectiveness was conducted during a Board Development session on 24 March 2022; Leaderful Action, as the current provider of leadership development training to officers within Social Care Wales, facilitated the session.

1.4 The questionnaire that Board members were asked to complete prior to the facilitated session is attached at Appendix 1.

1.5 The results of the questionnaire can be seen at Appendix 2. This indicates a generally positive assessment of the effectiveness of the organisation's corporate governance arrangements and reasonably high levels of satisfaction and commitment amongst members.

1.6 During the facilitated session, working in small groups, Board members and officers considered the results of the survey based on the following four themes:

- individual performance;
- Board performance;
- how are we doing?;
- compassionate leadership

1.7 A review of the feedback from those discussions resulted in three key themes being identified for further exploration as follows:

- connection with stakeholders;
- demonstrating impact (obtaining 'assurance not re-assurance');
- how we work together (tension not cosiness, inclusivity, governance and relationships).

1.8 The Board and the Executive Management Team (EMT) then considered the outcomes of a 'stop, start and continue' exercise based around the three themes set out in section 1.7. The results of the exercise were captured on a Jamboard and the key themes and issues which emerged can be seen in Appendix 3.

2. Strengthening Corporate Governance Action Plan

2.1 In April 2020, following a 'fresh pair of eyes' review conducted by the incoming Chair and Director of Regulation, the Board agreed to a series of proposals for strengthening the organisation's corporate governance arrangements.

2.2 These proposals were developed into a 'Strengthening Corporate Governance Action Plan' which has since been managed by the Board Secretary on behalf of the Chair.

2.3 The Board last received an update against the Action Plan in January 2021. At that time, a significant number of the proposals had been progressed whilst others had been delayed or deferred due to the impact of COVID and other organisational pressures. The proposals which have been progressed since April 2020 include:

- the creation of the Chairs Coordinating Group;
- introduction of rolling action logs for Board and Committee meetings;
- the introduction of a Chair's Action Process;
- designation of Remuneration & Wellbeing as an ad-hoc Committee;
- opportunities being created for members to share individual perspectives during Board Development sessions;
- revised Committee membership resulting in an increased number of members on each Committee;
- regular briefings from the CEO and a summary of key meetings and other events from Chair, through regular 'In-Touch' briefings.

2.4 An updated version of the Action Plan is included at Appendix 4. The actions which have been progressed (as indicted in paragraph 2.3 above) have been omitted for the sake of brevity and only those recommendations which have been deferred or remain work in progress have been included.

3. Additional actions for inclusion in the Strengthening Corporate Governance Action Plan arising from the 2021/22 Board and Committee Effectiveness Review

3.1 In consultation with the Board Secretary and the Executive Management Team (EMT), the Chair has reviewed the outcomes from the facilitated session which took place during the Board Development Session on 24 March and has identified a number of potential opportunities to further strengthen the organisation's corporate governance arrangements. These can be summarised as follows:

- **Opportunity 1** - arrange a Board conversation about the constitution to explore the differentiated roles of members and officers and consider whether the relationship is appropriately balanced and whether the level of scrutiny and challenge is right;
- **Opportunity 2** - arrange a Board conversation to seek to define the ambassadorial role of members more clearly;
- 3.**Opportunity 3** - consider ways to introduce the voice of those who use care and support more into the Board's work;
- **Opportunity 4** - introducing the Senior Independent Member role (paper for discussion at the April Board meeting);
- **Opportunity 5** - building a 30-minute pre-meeting into the Board meetings, when needed, to enable members to informally discuss the agenda;
- **Opportunity 6** - looking again at the balance between in-person and remote meetings to find new ways to introduce more person-to-person contact;
- **Opportunity 7** - co-opting the Staff Partnership Council (SPC) Chair as a participating observer to the Board and Remuneration Committee (paper for discussion at the April Board meeting).

3.2 Members are invited to consider these opportunities and collectively determine, which, if any they would wish to be added to the Corporate Governance Improvements Action Plan.

3.4 Members are also invited to considered whether there are any other opportunities which were identified through the 2021/22 Effectiveness Review which are not listed in paragraph 3.1 that they would also like to be considered.

4. Resource implications

4.1 A task and finish group was set up to input ideas on reviewing the methodology how the effectiveness review was undertaken.

4.2 The Board Secretary and Chair's time was allocated to designing the session alongside Leaderful Action and this was supported by the EMT. There was a cost associated with commissioning Leaderful Action to facilitate the Board Development session.

4.3 Any further actions which are agreed as a result of the considerations which emerged from the effectiveness review may also have an implication on the resources within the Corporate Governance team.

5. Risk considerations

5.1 It is important that the Board continuously reviews its effectiveness and acts upon any areas for improvement which are identified. Failing to do so, could result in the Board's reputation as an organisation with strong corporate governance arrangements could be affected resulting in a loss of stakeholder confidence. Standing still is not an option.

6. Engagement

6.1 All Board members responded to the questionnaire.

6.2 All Board and EMT members attended the facilitated effectiveness session and have had the opportunity to feed into ongoing Corporate Governance improvements and Board development.

7. Impact

7.1 The process of regularly reviewing the effectiveness of the Board act acting upon the outcomes will ensure that the Board is as effective as it can be and ensure that we meet our strategic objective of being an effective and transparent organisation by being accountable for our decisions.

8. Recommendations

8.1 Board members are invited to:

(i) discuss the outcome of the annual review of Board and Committee Effectiveness for 2021-22; and,

(ii) consider whether any of the proposals which emerged from the effectiveness review (as outlined in section 3.1) should be developed into actions and added to the Strengthening Corporate Governance Action Plan.

Gofal Cymdeithasol Cymru
Social Care Wales

Gwerthusiad Perfformiad Bwrdd Gofal Cymdeithasol Cymru 2021-22

Social Care Wales Board Performance Evaluation 2021-22

Gofynnir i aelodau'r Bwrdd asesu eu perfformiad eu hunain a pherfformiad cyffredinol y Bwrdd, fel rhan o'u hymrwymiad i wella trefniadau llywodraethu'r sefydliad yn barhaus.

Bydd cwblhau'r cwestiynau isod yn rhoi cyfle i chi bwyso a mesur ac adolygu eich perfformiad unigol a pherfformiad y Bwrdd.

Board members are asked to assess their own and the Board's overall performance, as part of their commitment to continually improve the organisation's governance.

Completion of the questions below will give you an opportunity to take stock of and review both your individual performance and that of the Board.

Torria'r ia

Pe bai ein Bwrdd yn wlad, pa wlad fyddai hi? Byddwch yn barod i egluro eich dewis yn ystod y sesiwn ar y 24ain o Fawrth

Ice breaker

If our Board team were a country, which country would it be? Please be prepared to explain your choice during the session on the 24th of March.

Perfformiad unigol / Individual Performance

Beth yw eich barn am eich perfformiad unigol yn y meysydd canlynol? **How do you rate your individual performance in the following areas?**	**1 = gwael / poor** **5 = rhagorol / excellent**
Presenoldeb mewn Cyfarfodydd Bwrdd a Phwyllgorau Attendance at Board and Committee Meetings	
Presenoldeb mewn diwrnodau Datblygu a digwyddiadau hyfforddi Attendance at Development days and training events	
Darllen a deall yr holl bapurau cyn mynychu cyfarfodydd Reading and understanding all papers prior to attending meetings	
Cymryd rhan effeithiol mewn cyfarfodydd Bwrdd a Phwyllgorau Effectively participating in Board and Committee meetings	
Herio materion a chynigion yn briodol Appropriately challenging issues and proposals	
Gweithio fel rhan o dîm gydag aelodau'r Bwrdd a'r Tîm Rheoli Gweithredol Working as part of a team with Board members and the Executive Management Team	
Cymhwyso eich gwybodaeth a'ch profiad eich hun i waith y Bwrdd Applying your own knowledge and experience to the work of the Board	
Cynrychioli Gofal Cymdeithasol Cymru yn gadarnhaol yn fewnol ac yn allanol Positively representing Social Care Wales both internally and externally	
Cwestiwn ychwanegol i Gadeirydd, Is-Gadeirydd a Chadeiryddion Pwyllgorau **Additional question for Chair, Vice Chair & Chairs of Committees**	
Cadeirio cyfarfodydd yn effeithiol, gan annog cyfraniad gan yr holl gyfranogwyr Effectively chairing meetings, encouraging contribution from all participants	

Perfformiad y Bwrdd / Board Performance

Beth yw eich barn am berfformiad y Bwrdd yn y meysydd allweddol canlynol? Rhowch enghreifftiau i gefnogi eich sgôr. **How do you rate the Board's performance in the following key areas? Please give examples to support your score.**	**Score (1 = gwael / poor 5 = rhagorol /excellent)**
Pennu, cynnal a chefnogi Gweledigaeth, canlyniadau strategol a gwerthoedd Gofal Cymdeithasol Cymru Setting, upholding, and supporting the Vision, strategic outcomes and values of Social Care Wales	
Ymarfer rheolaeth ariannol, cynnal hyfywedd ariannol a rheoli risg Exercising financial management, maintaining financial viability and management of risk	
Adolygu a monitro perfformiad Gofal Cymdeithasol Cymru mewn perthynas â strategaethau, cynlluniau, cyllidebau a phenderfyniadau Review & monitoring of Social Care Wales' performance in relation to strategies, plans, budgets and decisions	
Gwneud penderfyniadau allweddol, gan gynnwys her adeiladol a barn annibynnol Taking key decisions, including constructive challenge and independent judgement	
Rhoi arweiniad i'r Prif Weithredwr a'r Tîm Rheoli Gweithredol Providing guidance to the Chief Executive and the Executive Management Team	
Bodloni ei hun bod materion Gofal Cymdeithasol Cymru yn cael eu cynnal yn briodol Satisfying itself that Social Care Wales' affairs are conducted appropriately	
Bod yn llysgenhadon ar gyfer Gofal Cymdeithasol Cymru, yn fewnol ac yn allanol Being ambassadors for Social Care Wales, both internally and externally	
Os ydych wedi rhoi sgôr o 1 neu 2 ar gyfer unrhyw un o'r meysydd uchod, defnyddiwch y gofod isod i amlinellu unrhyw bryderon/awgrymiadau ar gyfer gwella. **If you have given a score of 1 or 2 for any of the above areas, please use the space below to outline any concerns/suggestions for improvement.**	

Sut rydym yn gweithio gyda'n gilydd / How we work together?

Sut ydym ni'n neud? Ystyriwch y cwestiynau isod ac atebwch nhw o'ch safbwynt eich hun mor onest ag y gallwch. **How are we doing? Consider the questions below and answer them from your own perspective as honestly as you can.** *(Please tick)*				
	Bob amser / Always	**Aml / Often**	**Weithiau / Sometimes**	**Byth / Never**
Ydyn ni'n gweithio fel tîm – o fewn y Bwrdd? Do we work as a team – within the Board?				
Rydym yn gweithio fel tîm – ynghyd â'r Tîm Rheoli Gweithredol? We work as a team – together with the Executive Management Team?				
A ydym yn barod i neilltuo amser ar gyfer gweithgareddau a digwyddiadau y tu allan i'r cylch arferol o gyfarfodydd? Are we prepared to commit time for activities and events outside the normal cycle of meetings?				
Ydy pawb yn cael cyfle i leisio barn? Does everyone get the chance to voice their opinion?				
Ydy pawb yn cymryd rhan? Does everyone participate?				
Ydyn ni'n darparu cymorth i'r Prif Weithredwr? Do we provide support for the Chief Executive?				
	Always	**Often**	**Sometimes**	**Never**
A ydyn ni'n rhoi cyfeiriad clir i'r Prif Weithredwr? Do we provide clear direction to the Chief Executive?				
A ydyn ni'n dangos dealltwriaeth glir o'r rhaniad cyfrifoldebau rhwng y Prif Weithredwr a'r Bwrdd? Do we demonstrate a clear understanding of the division of responsibilities between the Chief Executive and the Board?				
Ydyn ni'n cynnal ein gwerthoedd datganedig?				

Do we uphold our stated values?				
Ydyn ni'n cefnogi ein gilydd? Do we support each other?				
Ydyn ni'n barod i helpu ein gilydd i ddatblygu ein gwybodaeth, ein sgiliau a'n dealltwriaeth? Are we prepared to help each other develop our knowledge, skills and understanding?				
A ydym yn gallu delio ag anghytundebau neu wrthdaro o fewn y Bwrdd? Are we able to deal with disagreements or conflict within the Board?				
Ydyn ni'n dadlau digon ar faterion (h.y. dim rhy ychydig, a dim gormod)? Do we debate issues sufficiently (i.e., not too little, and not too much)?				
A ydym yn gallu dod i benderfyniadau consensws? Are we able to reach consensus decisions?				
Os ydych wedi ticio 'byth' neu 'weithiau' ar gyfer unrhyw un o'r meysydd uchod, defnyddiwch y gofod isod i amlinellu unrhyw bryderon/awgrymiadau ar gyfer gwella. **If you have ticked 'never' or 'sometimes' for any of the above areas, please use the space below to outline any concerns/suggestions for improvement.**				

Arweinyddiaeth Dosturiol / Compassionate Leadership

Pa mor dosturiol ydym ni? Ystyriwch y cwestiynau isod, sy'n gysylltiedig â'r ymddygiadau ar gyfer Arweinyddiaeth Tosturiol ar gyfer iechyd a gofal cymdeithasol yng Nghymru, ac ymatebwch mor onest ag y gallwch (1=Gwael, 5=Rhagorol)

How compassionate are we? Consider the questions below, that are linked to the behaviours for Compassion Leadership for health and social care in Wales, and respond as honestly as you can (1=Poor, 5=Excellent)

	Score (5 = rhagorol / excellent 1 = gwael / poor)
Bod yn gwbl bresennol yn ystod cyfarfodydd a rhyngweithio ag eraill Being fully present during meetings and interactions with others	
Cael gwared ar rwystrau i'r rhai yr ydym yn darparu arweiniad ar eu cyfer Removing obstacles for those that we provide leadership for	
Meddu ar y gallu i wrando ar faterion a'u deall, yn enwedig cyn symud at atebion Having the ability to listen to and understand issues, especially before moving to solutions	
Teimlo a deall straen a rhwystredigaeth y rhai rydyn ni'n eu harwain Feeling and understanding the stresses and frustrations of those we lead	
Cydbwyso craffu ac ymddygiadau arweinyddiaeth tosturiol Balancing scrutiny and compassionate leadership behaviours	
Derbyn camgymeriadau (ein rhai ni ac eraill) a dysgu oddi wrthynt Accepting mistakes (ours and others) and learning from them	
Dangos dewrder wrth herio materion diwylliannol a sector cyfan eang a chymhleth Showing courage in challenging broad and complex cultural and sector wide issues	

Blaenoriaethau - STOPIO, DECHRAU, PARHAU
Priorities - STOP, START, CONTINUE

Wrth feddwl am effeithiolrwydd y Bwrdd a'i Bwyllgorau a sut mae'n gweithio ar hyn o bryd, nodwch 3 awgrym ar gyfer yr isod (sylwer yn nhrefn blaenoriaeth 1 – blaenoriaeth uchaf 3 – llai o flaenoriaeth:

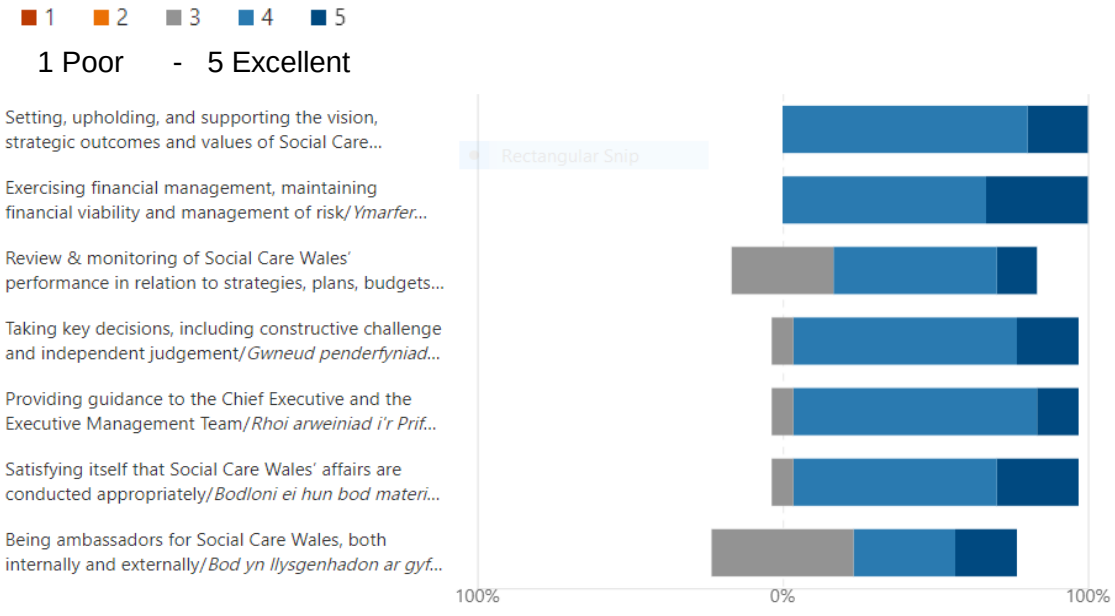
When thinking about the effectiveness of the Board and its Committees and how it works currently, please note 3 suggestions for the below (please note in priority order 1 – highest priority 3 – less of a priority:

	Priority 1	Priority 2	Priority 3
Beth ddylai'r Bwrdd ddechrau ei wneud (gan nad yw'n ei wneud ar hyn o bryd) What the Board should start doing (as it's not currently doing it)			
Beth ddylai'r Bwrdd barhau i'w wneud What the Board should continue doing			
Beth ddylai'r Bwrdd roi'r gorau i'w wneud What the Board should stop doing			

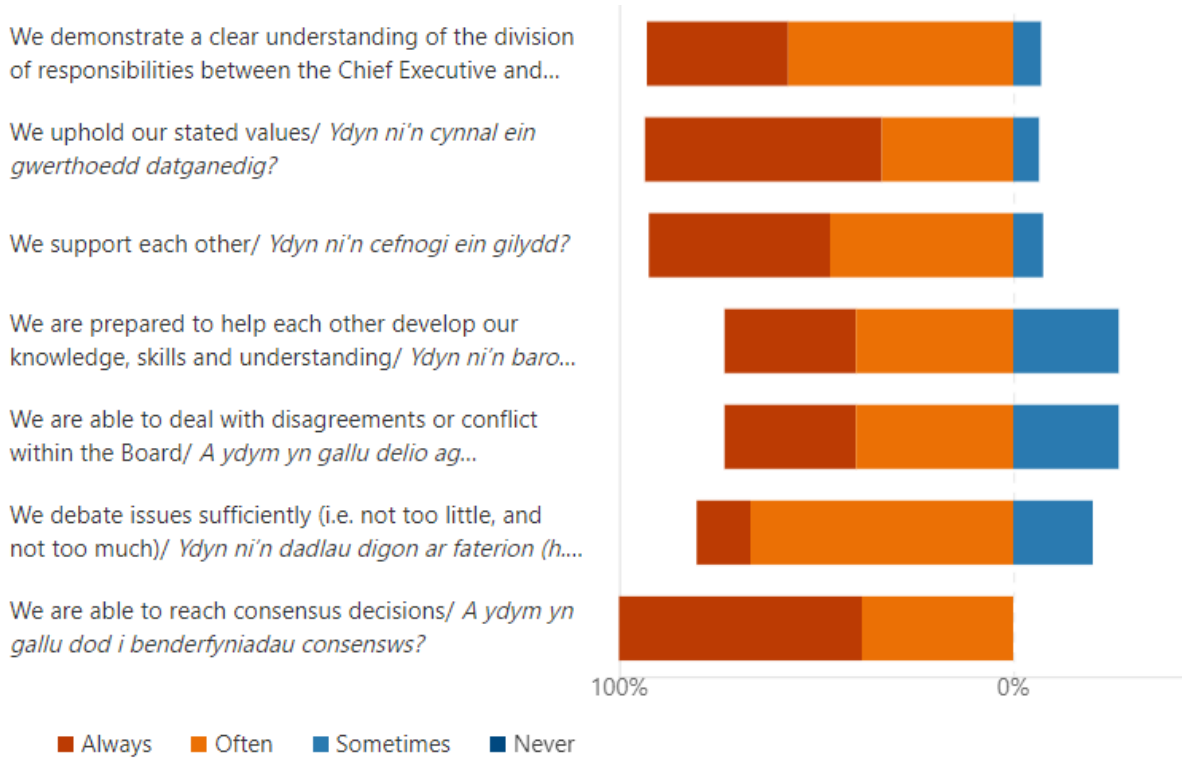
Questionnaire results

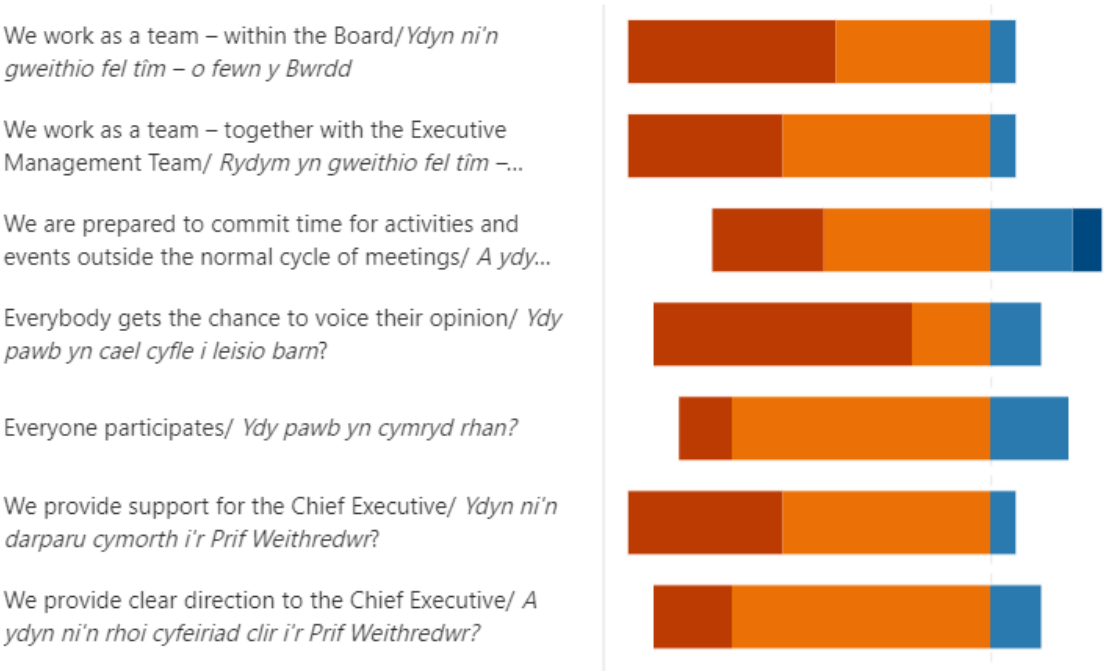
Evaluation Results 1 – Individual Performance

Evaluation Results 2 – Board Performance

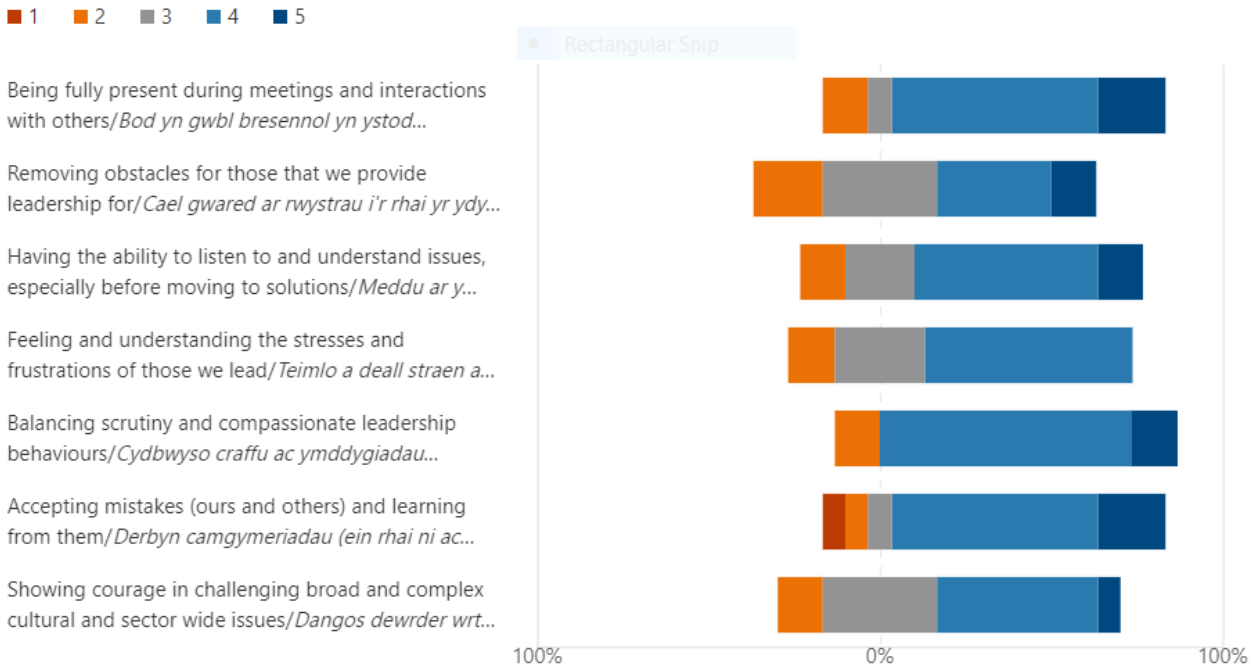


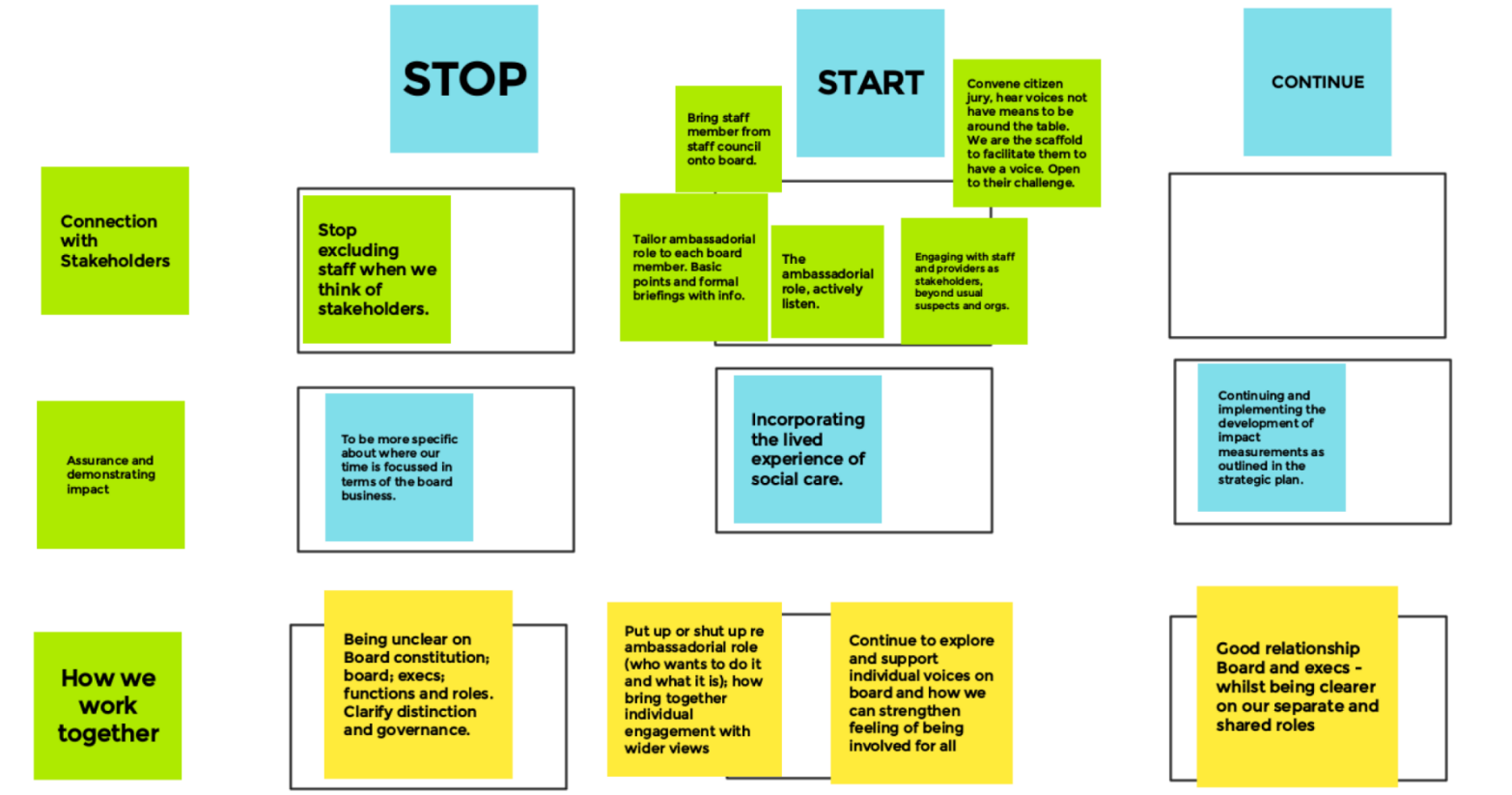
Evaluation Results 3 – How are we doing?





Evaluation Results 4 – Compassionate Leadership




STOP
START
CONTINUE
Connection with Stakeholders
Stop excluding staff when we think of stakeholders.
Bring staff member from staff council onto board.
Convene citizen jury, hear voices not have means to be around the table. We are the scaffold to facilitate them to have a voice. Open to their challenge.
Tailor ambassadorial role to each board member. Basic points and formal briefings with info.
The ambassadorial role, actively listen.
Engaging with staff and providers as stakeholders, beyond usual suspects and orgs.
Assurance and demonstrating impact
To be more specific about where our time is focussed in terms of the board business.
Incorporating the lived experience of social care.
Continuing and implementing the development of impact measurements as outlined in the strategic plan.
How we work together
Being unclear on Board constitution; board; execs; functions and roles. Clarify distinction and governance.
Put up or shut up re ambassadorial role (who wants to do it and what it is); how bring together individual engagement with wider views
Continue to explore and support individual voices on board and how we can strengthen feeling of being involved for all
Good relationship Board and execs - whilst being clearer on our separate and shared roles

Strengthening Corporate Governance Rolling Action Plan – Progress Update – April 2022				
Proposal		**Original Priority**	**Current Status**	**Progress Update**
1.1	Develop a Board Assurance Framework (BAF).	Research business case and bring proposals back to Board for further consideration.	Work in progress	This is an iterative process which is developing incrementally through enhancements to our operating model and risk assurance frameworks. A new Risk Management and Assurance Policy was approved by the Audit and Risk Committee in June 2021. This is a significant building block in the development of a BAF and further work will be conducted as part of re-development of the risk register for 2022-23. Once all the building blocks are in place, the issue will be referred back to the Board for consideration of formally adopting the BAF concept.
1.2	Develop and maintain a more structured, more systematic, longer-term workplan.	Await outcome of developments or other work.	Work in progress	Board and committee workplans for 2022/23 are regularly being discussed and developed through the Chair's Co-ordinating Group. However, there is still work to be done to further refine the workplan in light of the new strategic plan.
2.1	Adopt a more sophisticated approach to PADR for Board Members	Develop and implement.	Work in progress	A revised PADR policy based on the development of knowledge exchange groups was drafted in 2021 but was not implemented due to COVID. It is currently being re-written in light of the new priorities emerging from the development of the new strategic plan and changes in Board membership. The Chair acknowledges the need to adopt a more rigorous approach to PADR now that the impact of COVID is diminishing and is in the process of arranging end of year PADR meetings during May.

2.3	Explore the feasibility of a sector orientated 'Board to Floor' process.	Undertake research to identify potential benefits and bring proposal back to Board for further consideration.	Work in progress	This has been deferred due to the impact of COVID and in particular due to the fact that the Social Care Workforce is currently working from home. In the interim, in order to ensure that the visibility of the Board is maintained, the Chair, accompanied by other members where appropriate, has been participating in departmental and team meetings during November and December 2020 and 2021.
2.4	Consider other associate roles in business-critical areas.	Await outcome of developments or other work.	Deferred	In view of the depth and breadth of perspectives which already exist within the Board, members did not consider that it was either necessary or desirable to introduce associate members. However, it was recognised that this was something which might become more relevant as the membership of the Board changed over time. As such, this action has been deferred pending the Ministerial decision about members re-appointments. In the meantime, the CEO is currently exploring options to provide additional specialist support to the Audit and Risk Committee in relation to the discharge of its responsibilities to provide oversight and security around cyber security and information governance.
3.1	Consider the value in inviting a workforce representative to sit on the Board.	Await outcome of developments or other work.	Work in Progress	Following recent discussion in the Remuneration and Wellbeing Committees (also reflected in the outcomes of the 2020/21 Review Board Effectiveness Review) a proposal will be considered during the April Board meeting that the Chair of SPC should be invited to future Remuneration Committee and Board meetings as a participating observer.

3.2	Develop a Board briefing tool to raise awareness of what the Board does.	Develop and implement.	Deferred	This will be considered further as part of the business planning process for 2022-23.
3.4	Consider the potential value of taking Board meetings out into the community.	Research to identify potential benefits and bring proposal back to Board for further consideration	Deferred	Due to impact of the COVID-19 pandemic and in particular, the shift to remote ways of working and restrictions on social contact and travel, this proposal has not been progressed. It will be considered during 2022-23 with a view to weighing up the potential benefits and resource implications of adopting a programme of community-based meetings during 2023-24.
4.2	Review the existing mechanism for development and ongoing review of organisational policies.	Research to identify options and bring proposal back to Board for consideration.	Work in progress	The Audit and Risk Committee are reviewing the organisational policy register, receiving updates at each meeting currently. Policies such as the Hybrid Working policy was shared with the Remuneration Committee at its March April for the Committee to note.
5.2	Regular or occasional joint Board meeting with HEIW and potentially CIW	Develop and implement.	Work in progress	The Board has met on a yearly basis with the HEIW Board following the launch of the Workforce Strategy in 2020. The next joint Board meeting is scheduled for May 2022. CIW does not have a comparable governance structure to Social Care Wales, as it sits within the Welsh Government. The Executive Management Team of both organisations currently meet quarterly. In the meantime, the Chair and Executive Management Team will continue to look at relevant opportunities to strengthen working partnership at Board level with other organisations.

5.4	'Service user' stories at the start of a Board meeting.	Research to identify options and bring proposal back to Board for consideration.	Deferred	This has not been progressed due to COVID-19. Recent meetings have sought to introduce user stories through existing videos and case studies, and Board Development days will seek to being in user representatives to engage informally with members. The issue was raised again in the 2021/22 Effectiveness Review and will be considered during the discussion at the Board meeting in April 2022
5.6	Arrange informal 'team building away day' for the Board.	Develop and implement	Work in Progress	This has not been progressed due COVID-19 and in particular the restrictions on travel and social contact. There is still merit in pursuing this and it will be picked up as we return to a new normality. The matter will be picked up by the CCG in May as a follow up to the facilitated Effectiveness Review session which took place during the March Board Development Session.

Gofal Cymdeithasol Cymru
Social Care Wales

Cyfarfod / Meeting	**Board meeting**				
Lefel dosbarthiad / Openness Level	**Preifat / Private**			**Cyhoeddus / Public**	
	☐			☒	
Dyddiad / Date	**28.04.22**				
Eitem Agenda Agenda Item	**12**				
Teitl / Title **SCW/22/15**	**Corporate Governance Policies**				
Awdur / Author	Llinos Bradbury – Board Secretary				
Cyfraniadau Gan/ Contributions From					
Papurau Cefnogol / Supporting Papers	Appendix 1 – Matters Reserved for the Board Appendix 2 – Whilstleblowing policy and procedures: members Appendix 3 – Register of gifts and hospitality for staff and Board members Appendix 4 – Register of interest Board members Appendix 5 – Policy for selecting a deputy Chair Appendix 6 – Guidance - Code of Conduct for Board members Appendix 7 – Guidance - Role and responsibility of being a Board member Appendix 8 – Guidance for members on the use of social media Appendix 9- Travel and Subsistence arrangements				
Gweithgaredd Cynllun Busnes / Business Plan Activity	Priority theme 4: our organisation Ensuring continuous improvement of how we do our work to be an effective and efficient Welsh public service organisation				
Gweithred / Action Required	**Cymeradwyaeth / Approval**	**Darparu Llyw / Provide A Steer**	**Darparu Sicrwydd / Provide Assurance**	**Trafodaeth / Discussion**	**Craffu / Scrutinise**
	☒	☐	☐	☒	☐
Argymhelliad / Recommendation	Board members are invited to review and **approve** the policies and guidance within the appendices; and - Consider whether they would like to add Senior Management Pay (Leadership Team members grades C2				

<table>
<tr><td></td><td colspan="4">and above) to the Matters reserved for the Board following consideration and recommendation from the Remuneration Committee in recognition of the sensitivities surrounding any changes at this level.</td></tr>
<tr><td>Prif Bwyntiau; Materion Allweddol i Dynnu Sylw Atynt: Cwestiynau I'w Ystyried

Main Points: Key Issues to Draw to Attention; Questions to Consider</td><td colspan="4">All Policies and guidance have been reviewed and no major changes are proposed to any policy or guidance in light of the review.</td></tr>
<tr><td rowspan="3">Goblygiadau Risg y cynigion / Risk Implications of Proposals</td><td rowspan="2">Teitl y Risg / Risk Title</td><td rowspan="2">Cyfeirnod cofrestr Risg/ Risk Register Reference</td><td colspan="2">Sgoriau risg gweddilliol

Residual Risk Scores</td></tr>
<tr><td>Cyfredol Current</td><td>Dyfodol Future</td></tr>
<tr><td>No risks are noted on the risks registers</td><td></td><td></td><td></td></tr>
<tr><td rowspan="3">Asesiadau Effaith / Impact Assessments Considered</td><td>Cyfle cyfartal / Equality of Opportunity</td><td>Diogelu data / Data Protection</td><td>Iaith Gymraeg / Welsh Language</td><td>Arall / Other (e.g climate change / future generations</td></tr>
<tr><td>☐</td><td>☐</td><td>☐</td><td>☐</td></tr>
<tr><td colspan="4">Impact assessments have been undertaken against the policies and guidance's; no potential negative impact has been identified.</td></tr>
</table>

Corporate Governance Policies

1. Context

1.1 There are a number of Corporate Governance Policies that form the Board Members Handbook that have needed to be reviewed, as these were mostly agreed when Social Care Wales was established in 2017. These have been reviewed and any suggested amendments noted as tracked changes within the appendices, any small amendments to increase readability or changes to job titles have been made without being included as tracked changes.

1.2 Below are the policies and guidance that had been reviewed and whether any amendments are suggested to those:

Appendix 1 – Matters Reserved for the Board

Board members are asked to consider whether they would like to add Senior Management Pay (Leadership Team members grades C2 and above) to the Matters reserved for the Board following consideration and recommendation from the Remuneration Committee, in recognition of the sensitivities surrounding any changes at this level and to ensure that the Board is in agreement with any recommendation sent to Welsh Government for approval.

The Model Governance Framework is due to be updated, once this has been completed with the Public Bodies Unit and Sponsor Team in Welsh Government the Matters Reserved for Board will be reviewed again.

Appendix 2 – Whistleblowing policy and procedures: members

Contact details for Internal Audit have been updated as TIAA have recently started as the new Internal Audit provision.

Bullying, harassment and discriminatory actions have been added into the scope following feedback at March's Chairs Coordinating Group meeting.

A section has been added noting that any concerns raised as part of this policy will be reported within the quarterly compliance report received by the Audit and Risk Committee, maintaining confidentially where needed.

Appendix 3 – Register of gifts and hospitality guidance for Board members

Having reviewed this guidance no changes are suggested.

Appendix 4 – Register of interest for Board members

Having reviewed this guidance no changes are suggested, as categories are still in line with best practice.

Appendix 5 – Policy for selecting a deputy Chair

No amendments are being suggested to this guidance.

Appendix 6– Code of Conduct for Board members

No amendments are being suggested to this guidance.

Appendix 7 – Guidance - role and responsibility of being a Board member

No changes suggested for this as the Board member role has not changed.

Appendix 8 – Guidance for members on the use of social media

No amendments are being suggested to this guidance.

Appendix 9 – Travel and subsistence guidance for members

No amendments are being suggested to this guidance.

2. Resource implications

2.1 It is within the Board Secretary's annual workplan to review necessary policies and guidance that are within the Members handbook.

2.2 The Board Secretary is responsible for:

- ensuring that the Board and its Committees receive high quality support in their oversight of Social Care Wales;
- developing and maintaining corporate governance policies and handbooks;
- Advising the Board, the Chair, individual Members, committee chairs and committee administrators and on governance matters and compliance with the Board's procedures and codes of best practice and conduct.
- Advise the Board of its statutory powers and duties, and of the Welsh Government's formal requirements as set out in the Framework Document

3. Risk and assurance

3.1 No risks are noted on the risk registers in relation to this work.

4. Engagement

4.1 Board members have the opportunity to review and approve the policies and guidance necessary for them to undertake their roles.

5. Impact

5.1 Ensuring that policies and relevant guidance are reviewed and updated as necessary ensures that Board members have the necessary information to undertake their roles and in-line with current good practice.

Appendix 1

Gofal Cymdeithasol Cymru
Social Care Wales

Matters only the Board can approve

Classification:
Open

Document custodian:
Social Care Wales Board

Target audience:
Social Care Wales Staff and Board

Other policies that should be read in conjunction with this policy:
Model Governance Framework; Scheme of Delegation

Policy author:
Board Secretary

Last date approved:
April 2017

Next review date:
April 2022

Impact assessment outcomes:
This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified

Gofal Cymdeithasol Cymru
Social Care Wales

Matters only the Board can approve

As a Welsh Government Sponsored Body Social Care Wales has agreed with the Welsh Government how we will work and what we need to do to ensure we get the money we need to do our work as effectively as possible. This is set out in an agreement called the 'Model Governance Framework'.

In the framework Social Care Wales must keep a list of matters that can only be approved by the Social Care Wales Board.

Delegation

The Scheme of Delegation sets out who is allowed to make decisions. This was last agreed by the Board on 15 July 2021.

The Scheme of Delegation states:

- what the Board of Social Care Wales does and how it works
- what is expected of the Board as a group and as individuals
- that the running and management of Social Care Wales is the responsibility of the Chief Executive; and
- that the Chief Executive will allow others in Social Care Wales to make decisions, who they are and what decisions they can make.

The Board will delegate certain matters to the Board's Committees. These will be set out in the Terms of Reference of the relevant Committee.

The following list of matters, including any changes, must be agreed by the Board unless matters have been delegated to the Chief Executive or a Committee of the Board. The list does not cover all the matters the Board will be asked to approve.

While the Board allows others to make decisions, it is responsible and answerable for all the decisions made in its name.

The Board can change any responsibility it has given to others or cancel any decision or action of a Committee, Sub-Committee working or stakeholder advisory group.

Matters only the Board can approve are as follows:

What Social Care Wales will do

- Set out what Social Care Wales will do
- How it will get there through its strategic plan and annual business plan
- Approve any new areas of business Social Care Wales may be asked to do
- Approve Social Care Wales's strategic plan and business plan.

How Social Care Wales will spend its money

- Approve Social Care Wales's annual budget which is included in the business plan
- Approve funding schemes to support the training of social workers and social care workers
- Approve the fees the people who are on the Register will pay
- Approve the fees that will be set for new groups of people who will need to be registered
- Approve how significant new areas of work will be funded

How the Board will check and review the work of Social Care Wales

- Approve Social Care Wales's annual financial report – the statutory annual accounts.
- Approve Social Care Wales's annual report. This should be published no later than the 30 November after the end of each financial year.
- Review and check how Social Care Wales is working through its quarterly performance reports against the Business Plan.

The Board can appoint

- a Deputy Chair of Social Care Wales Board
- the Chief Executive, with the prior approval of the Deputy Minister for Social Services

Responsibilities and powers of the Board

- Approve the Committees needed by Social Care Wales. This includes setting them up, any changes to their work and disbanding them
- Approve what the Committees do, who is on the Committees and what they do. This is set out in the Committees terms of reference
- Make recommendations to Welsh Government on Senior Management Pay
- Changes to the Chief Executive's powers.

How the Board works and behaves

- Agree how the Social Care Wales Board works through the standing orders.
- Agree how Board Members behave through the Code of Conduct for Members.

What Social Care Wales is doing under the Regulation and Inspection of Social Care (Wales) Act 2016

- Approve the Rules for Registration and Fitness to Practise (Parts 4 to 8)

- Approve the codes of practice (Section 112) that set out the standards of behaviour and practice of social care workers, as well as social care employers or those looking to work as social care workers
- Agree the Rules for the approval of courses (Section 114):

    - for people who are social workers or who wish to be registered social workers with Social Care Wales
    - in the work of people registered with Social Care Wales or who want to be registered
    - in the work of people who are or want to be social care workers that is not listed under section 80(1)

- Approve the rules for the inspections of certain courses (Section 115)
- Approve the rules requiring registered persons to undertake further training (Section 113)
- Approve the Social Care Wales element of the national market stability report (Section 63)
- Approve studies into the economy, efficiency and effectiveness in the provision of a care and support service (Section 70)
- Approve how Social Care Wales involves people and social care workers in its work (Section 71)
- Approve how Social Care Wales will bring criminal proceedings (Section 72)
- Approve the rules for the payment of fees (Section 73) to Social Care Wales in carrying out its work. Social Care Wales may make rules for the payment of fees for:

    - the provision of advice or other assistance under section 69;
    - registration in the register (see Part 4);
    - the approval of courses under section 114 (approval of courses for persons who
    - are or wish to become social care workers);
    - the provision of training under section 116 (training provided or secured by SCW);
    - the provision of copies of codes of practice or copies of, or extracts from, the
    - register.

Other matters

The Social Care Wales Board may make decisions the Board and the Executive Management Team think are so important and significant as to need their agreement.

This list will be updated every three years or when needed.

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Social Care Wales

Whistleblowing for Board Members

Classification:

Open

Document custodian:

Social Care Wales Board

Target audience:

Social Care Wales Board Members

Other policies that should be read in conjunction with this policy:

Members' Code of Conduct

Policy author:

Board Secretary

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Whistleblowing Policy for Board Members

1. Aim

Social Care Wales is committed to maintaining an open culture with the highest standards of honesty and accountability. Social Care Wales encourages all Members (Board and Regulatory panel members) to report any suspected wrongdoing. The aim of this policy is to encourage Members to report matters of proper concern about serious malpractice while protecting Members from unfounded and malicious allegations.

We recognise that the decision to report concerns can sometimes be a difficult one for Members to make. This policy and associated procedures are designed to be fair and flexible, to address those difficulties and to provide Members reassurance that their concerns will be taken seriously.

The policy and procedures:

- Provides a background on the supporting legislation
- Encourages Members to report matters of proper concern and make disclosures at an early stage
- Sets out the procedures for raising concerns and making disclosures appropriately at an early stage
- Outlines how the disclosures would be communicated appropriately
- Offers assurances that you will be protected from possible reprisals or detriment where a disclosure is made in good faith that you reasonably believe to be true
- Aims to protect Members from unfounded and malicious allegations

2. Scope

This policy applies to all Members of Social Care Wales (including regulatory panel members). There are separate whistleblowing policies for: staff; registered persons and people who are not registered with Social Care Wales. There is also a policy covering external complaints about Social Care Wales. Copies of these polices are available on our website.

A situation may arise where a Member has genuine concerns about perceived irregularities in the following:

- the running of Social Care Wales;
- activities of fellow Members;
- Social Care Wales staff;
- Bullying, harassment and discriminatory actions;
- Working partnerships and/or
- Another party acting on behalf Social Care Wales (such as a partner, contractor etc.)

All Members have a right and a moral responsibility to report improper actions and omissions. You may be worried about raising these issues as of concern. You may feel that raising the matter would be disloyal to Members, the Chair, the Executive Management Team or you may want to keep the concerns to yourself. If something is troubling you, which you think should be looked into, use this policy to deal with the matter.

3. What is whistleblowing?

Whistleblowing refers to 'making a disclosure in the public interest' or 'blowing the whistle'. Whistleblowing occurs when a Member (or group of Members) raises a concern or discloses information which relates to wrongdoing, illegal practices or unethical conduct in the workplace which has come to their attention through work and affects others.

Normally the whistleblower is someone who has not been directly affected by the issues. However, this is not always the case and if you think that the policy may be relevant to you, even though you are someone who has been directly affected by the issues, please contact us for advice. It may be that one of our other policies is more relevant to you and we can advise you about this.

4. Legislation

This policy has been developed in line with the Public Interest Disclosure Act (PIDA) 1998. The Public Interest Disclosure Act 1998 was introduced to protect employees who are worried about wrongdoing where they work and want to 'blow the whistle'. The Act applies to most employees and includes those employed on a temporary basis or through an agency. An employee who is victimised or discriminated against in any way because they have 'blown the whistle' (known as making a protected disclosure') can take their employer to an employment tribunal. However, the whistleblower will not be protected if, in disclosing the information, he or she commits a criminal offence e.g., a breach of the Official Secrets Act 1989.

The Public Interest Disclosure Act (PIDA) 1998 provides protection for employees who raise legitimate concerns about specified matters. These matters should be issues that are of public interest. The main provisions of the PIDA are set out in Appendix 1. This policy is only to be used where a potentially serious malpractice known as Qualifying Disclosure (as defined in Appendix 1) has been exposed or is suspected.

Issues that are not covered are personal grievances concerning a Members' terms and conditions or related matters.

5. Reporting concerns

All Members have a responsibility to raise any concerns that they have about malpractice, wrongdoing or unethical conduct. You should be watchful for unlawful or

unethical conduct and should report anything of that nature. It is important that you raise genuine concerns immediately rather than waiting for proof.

We expect Members to bring to our attention anything that suggests that any of the following acts have occurred, or are likely to occur:

- A criminal offence
- Suspected fraud or misuse of funds
- Failure to comply with a legal obligation
- Unauthorised or inappropriate disclosure, misuse or loss of confidential, personal and/or sensitive information
- A miscarriage of justice
- An act causing damage to the environment
- A risk to the health and safety of an individual/s
- Attempts to suppress or hide information relating to the above.

Matters raised appropriately under this policy will be investigated promptly and thoroughly and we will take appropriate action. The outcome of the investigation will be reported back to the person who raised the disclosure, where this is felt to be appropriate.

We are committed to this policy. If you raise a genuine concern under this policy, you will not risk losing your Board membership or suffering any form of retribution as a result. If you are acting in good faith and believe the matter to be substantially true it does not matter if you are mistaken. However, if a matter is maliciously raised when known to be untrue, or maliciously discussed with other Social Care Wales Members or Officers, we do not extend the same assurance and the matter may be dealt with.

Indeed, there are some circumstances in which you may be breaching your contract and/or breaking the law if you do not raise your concern with the Chair or an appropriate body (see page 5).

6. Our undertaking to you

Provided that you raise a concern in good faith, based on reasonable belief, follow the procedures set out in Section 2. We make the following undertakings:

- you will not be disciplined or subjected to any other detriment to your Membership on the Board or Panels as a result of raising a disclosure, even if the concern turns out to be mistaken or groundless
- the disclosure will be treated seriously and, as the whistleblower, you will be treated fairly and justly by Social Care Wales
- your identity as the whistleblower will be kept confidential for as long as you require, where this is practical and under our control[1]. This is subject to the requirements of criminal investigations and any other legal proceedings, where applicable

[1] The identity of the whistleblower might emerge in circumstances beyond our control, for instance, in court proceedings.

- you will be informed of any action being taken in response to your concern, and the outcome (subject to any legal constraints and where appropriate); and
- we will take all other reasonable steps to protect you from any victimisation, harassment, bullying or other personal detriment occasioned as a result of your disclosure.

Where you feel that you have been a victimised, harassed or bullied as a result of making a disclosure and informing us of this, the matter will be fully investigated and may result in action being taken against the person responsible for the victimisation, harassment or bullying.

7. Unfounded disclosures

Where a disclosure contains an allegation that is not confirmed by further inquiry and is ultimately found to be mistaken or groundless, the matter will be closed and no further action will be taken, providing you (as the whistleblower) acted reasonably and without malice. We will take all reasonable steps to protect any person implicated in unfounded or mistaken allegations from adverse consequences.

8. Malicious allegations

Social Care Wales and the Welsh Government has a duty to protect Members from unfounded or malicious allegations. Malicious allegations, and allegations made without any grounds at all will be treated as a serious disciplinary matter which could result in the termination of a Members appointment. The PIDA will not protect Members who make such allegations. The matter will be viewed with even greater seriousness if the allegation is made to an external body.

9. Misconduct or criminal activity

If misconduct is discovered as a result of an investigation, then appropriate action will be taken. External action may also be appropriate, such as contacting the police if criminal activity if uncovered.

10. Confidentiality

We will not tolerate the harassment or victimisation of anyone. However, we do recognise that you may want to raise a concern in confidence under this policy. If you ask for protection of your identity by keeping your confidence it will not be disclosed without your consent unless we are required to do so by law. If the situation arises where we are not able to resolve your concern without revealing your identity this will be discussed with you and a decision made about whether or not you wish to proceed. This is subject to the requirements of a criminal investigation[2].

[2] The identity of the whistleblower might emerge in circumstances beyond our control, for instance, in court proceedings.

Any Social Care Wales Member or staff who reveals the identity of the whistleblower's identity is in breach of this policy and will face disciplinary action.

11. Concerns raised anonymously

As Social Care Wales has a small Board and regulatory panel membership, we do not encourage Members from raising concerns anonymously. Therefore, we hope that the assurances given in the clause above will give you confidence to identify yourself at the outset when raising a concern.

12. Raising concerns externally

Where attempts to raise matters internally have been unsuccessful or, exceptionally, if you feel you cannot raise your concerns internally you may consider raising the matter with:

- Internal Audit (TIAA) on 0845 300 3333 ~~029 2046 0000~~
- If you are concerned about fraud or corruption, then contact the PIDA Officer at the Auditor General's email: whistleblowing@audit.wales or telephone: 029 20 320 522
- The police
- If you are concerned about wrongdoing that does not involve how public business is carried out, value for money, fraud or corruption you can visit https://www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2 for details about other prescribed persons.

For example

Children's Commissioner: about the rights and welfare of children in Wales. Children's Commissioner for Wales, Llewellyn House, Harbourside Business Park Harbourside Road, Port Talbot, SA13 1SB Tel: 01792 765600 Email: post@childcomwales.org.uk

The Information Commissioner: about data protection freedom of information rights and duties in England and Wales. Information Commissioner's Office – Wales, 2nd Floor, Churchill House, Churchill Way, Cardiff, CF10 2HH Tel: 0330 414 6421 Email: wales@ico.org.uk

Section 2: Procedures

13. How to make a disclosure?

If you have concerns about a member of Social Care Wales staff (excluding the Chief Executive) you should report the matter orally or in writing to the Chief Executive. The Chief Executive will ensure that the matter is dealt within in accordance with the Whistleblowing policy for Social Care Wales staff. In the absence of the Chief Executive Members should refer the matter to an appropriate Director.

When making a disclosure details such as names, dates, reasoning for concern will be required, however proof is NOT.

If the issue concerns another Board or regulatory panel Member, including the Chief Executive, you should first report the issue, orally or in writing, to the Chair of the Board. However, if you feel unable to go to the Chair, for whatever reason or if the issue of concern relates to the Chair you can raise it with Internal Audit. If you feel unable to discuss your concerns with Internal Audit please contact the Wales Audit Office

When making a disclosure details such as names, dates, reasoning for concern will be required, however proof is NOT.

You can contact the Wales Audit office if you feel that you cannot discuss the matter with any of the above people or if you still have concerns after following the steps above.

Informal initial inquiries will take place with the discloser in order to determine whether the matter raised appears to be a Qualifying Disclosure. If it is judged that the matter warrants further investigation, we will investigate.

If you are considering whistleblowing and you become aware that someone else wants to make a disclosure about the same issues, it is best if you raise your concerns separately and avoid discussing the issues. This is to help us ensure fairness in any subsequent investigation.

14. What will happen in response to a concern raised under this policy?

If it appears necessary to take interim measures urgently, for instance, to protect public funds, this will be done immediately before any inquiries or investigation process. This may involve liaising with the Police where a criminal offence may have occurred.

Otherwise, following initial inquiries, the most appropriate form of investigation (if any) will be determined and the most appropriate process for the consideration of the concern. Concerns that fall more appropriately within the scope of other formal procedures, such as the complaints procedure, will be referred for consideration under those procedures.

If it is decided that an investigation is necessary the concern will be rigorously investigated by persons who are not implicated and who are independent of those who have been implicated (called the Investigation Officer). This may be done by Welsh Government officials or through Internal Audit as considered appropriate. Matters may also be passed to the police for investigation.

Where a concern is referred, the Investigating Officer, will act as a point of contact with the whistleblower (or other person reporting the matter on the whistle blower's behalf) until the matter is resolved.

On receipt of a concern the Investigating Officer will write to the whistleblower (or a representative) within 10 working days:

- Acknowledging the report or referral of the concern;
- Giving an indication of how the matter will be dealt with (by internal of Government officials); and
- Indicating the likely time scale for providing a final response – although if it is not possible to give indications on the timescale at this stage the letter will say so, giving reasons and the indications will be given as soon as possible thereafter.

If a decision is made not to investigate the concern the whistleblower will be notified in writing within 10 working days at the latest.

The Investigation Officer may meet the person making the disclosure (where known) and any other individual mentioned in the disclosure to establish the facts. The investigation may also involve individuals being asked to provide written statements to the Investigating Officer.

Whistleblowers may be supported by, or represented in their place, by a representative (such as from a Trade Union or staff association).

Once the Investigating Officer has established the facts they will prepare a report for the relevant parties – Chief Executive, Chair, Welsh Government. The report will be considered and what, if any, actions are required.

The whistleblower will be given as much information as possible on the outcome of the investigation. However, there may be constraints due to Welsh Government obligations, fairness or other legal considerations.

Where an allegation is found to be mistaken or groundless Social Care Wales and/or Welsh Government will take all reasonable steps to protect any person implicated in it from adverse consequences.

Please see Annex 2 for a flowchart of the process.

15. Reporting whistleblowing raised

Any concerns raised as part of this policy will be reported to the Audit and Risk Committee as part of the quarterly Compliance Report, maintaining confidentiality where necessary.

Whistleblowing policy for Members

Main provisions of the Public Interest Disclosure Act 1998

1. The Act does not introduce a general protection for whistleblowers in all circumstances. In particular, the whistleblower will not be protected if, in disclosing the information, he or she commits a criminal offence.

2. In order to benefit from the protection of the Act and of this policy, a disclosure must satisfy certain conditions. The first condition relates to the subject-matter of the disclosure. There is then a further set of conditions depending on who the disclosure is made to.

Subject-matter of the disclosure: 'Qualifying Disclosure'

3. The Act protects only disclosures of information which, in the whistleblower's reasonable belief, tends to show that one of the following acts has occurred, is occurring or is likely to occur. The specified acts are:

- a criminal offence
- a failure to comply with a legal obligation
- a miscarriage of justice
- the endangering of an individual's health or safety
- damage to the environment
- deliberate concealment of information relating to any of the above.

If your belief turns out to be mistaken, you will still be protected provided that it was reasonable to think as you did.

Who the disclosure is made to:

4. **Disclosure to the employer** (i.e., an internal disclosure to Social Care Wales or the Government) will be protected provided that:

- the information falls within paragraph 3 **and**
- the disclosure is made in good faith.

5. **Disclosure to a regulator** will be protected if:

- the information falls within paragraph 3 **and**
- the disclosure is made in good faith **and**
- the whistleblower reasonably believes that the information and any allegation in it are substantially true.

6. **Disclosure to other external bodies** will **only** be protected if:

- the information falls within paragraph 3 **and**
- the disclosure is made in good faith **and**

- the whistleblower reasonably believes that the information and any allegation in it are substantially true **and**
- the whistleblower is not motivated by personal gain **and**
- one of the additional conditions for external disclosure (see paragraph 7) is met **and**
- overall, it is **reasonable** for him or her to make the disclosure to that external body.

7. The additional preconditions for an external disclosure to be protected are:

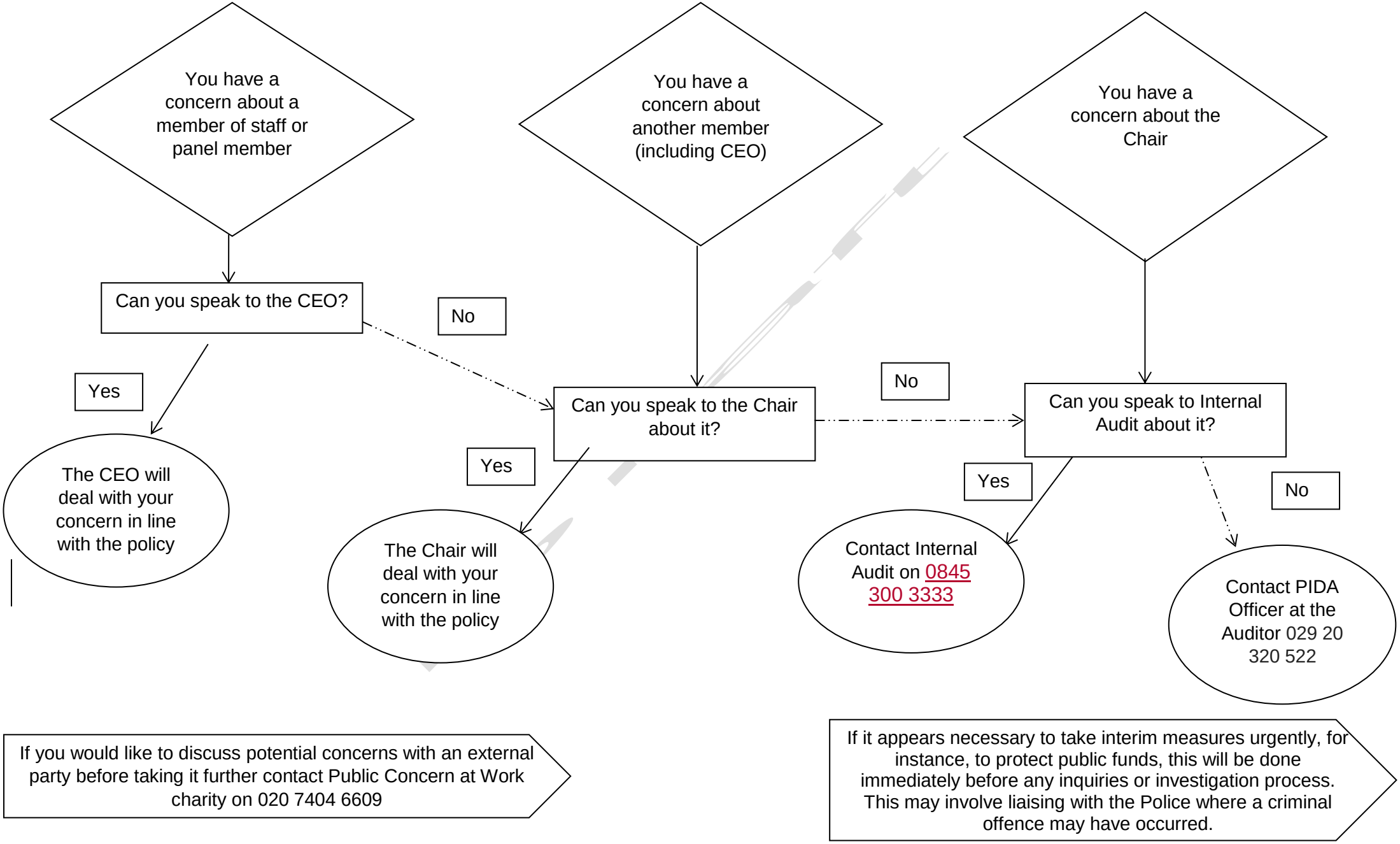
- the whistleblower has a reasonable belief that they may be victimised if they raise the matter internally or with a prescribed regulator **or**
- there is no relevant prescribed regulator and the whistleblower reasonably believes that evidence related to the disclosure they wish to make is likely to be concealed or destroyed if they raise the matter internally **or**
- the concern has already been raised with the employer or a prescribed regulator **or**
- the concern is of an exceptionally serious nature.

8. As stated in paragraph 6, it must be "reasonable" to make the disclosure in the way chosen. If the reason for turning to an external person or organisation was that the concern was exceptionally serious, an important factor for assessing the reasonableness of this disclosure decision will be the choice of person/organisation. Disclosure to the media is unlikely to be reasonable except in very unusual circumstances, for instance where the maximum number of people need to be warned of an imminent danger. PIDA will not protect Board members or Social Care Wales employees who contact the media in the hope of gaining favour.

9. If the reason for making the disclosure externally is one of the others listed in paragraph 7, reasonableness will be assessed in the light of, in particular:

- the identity of the person to whom the disclosure was made;
- the seriousness of the concern;
- whether the risk or danger still exists; and
- whether the disclosure breached a duty of confidence which the employer owed to a third party.

Whistleblowing: a flowchart for Members



Helpful hints

Always remember that, as a whistleblower, you are acting as a witness and not a complainant. You have to have reasonable suspicion but not actual evidence to support your concerns. If you do suspect wrongdoing, you should follow a few simple guidelines:

Do:	Don't
Make an immediate note of your concerns. Note all relevant details, such as what was said in phone or face-to-face conversations, the date, time, the names of those involved and the reasoning for concern.	Do nothing
Pass on your suspicions to someone with the appropriate authority and experience.	Be afraid of raising your concerns. We must not discriminate against you if you raise concerns. Our organisation will treat any matter you raise sensitively and confidentially.
Deal with the matter promptly if you feel your concerns are justified. Any delay may mean that our organisation or customers continue to suffer or that the risk increases.	Approach or accuse any individuals directly.
	Try to investigate the matter yourself. This is particularly important if your concern is about a crime or breaking a legal duty. There are special rules for gathering evidence to use in criminal cases. Any attempt to gather evidence by people who are unfamiliar with these rules may destroy the case
	Pass on your suspicions to anyone who does not have the proper authority.

More advice and guidance

If you are thinking about making a disclosure and you are not sure what your legal rights are you should consider getting independent legal advice.

If you would like free and confidential advice on what information is protected under the Public Interest Disclosure Act (PIDA) 1998 and how best to raise your concern, you should call Public Concern at Work (an independent charity) on 020 7404 6609 or visit their website www.pcaw.co.uk

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Social Care Wales

Register of Gifts and Hospitality – Guidance for Board members

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Social Care Wales Board

Target audience:

Social Care Wales Board Members

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This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified.

Gofal Cymdeithasol Cymru
Social Care Wales

Register of Gifts and Hospitality

Guidance for Board Members

i. Social Care Wales Board members should not accept any gift, hospitality or benefit of any kind which could be seen to compromise their personal judgement or integrity or lead them to show favour or disfavour towards any person or organisation.

ii. However, if a gift is sent to a Board member which it's felt can't be returned, or a gift or hospitality is offered in circumstances in which it would cause embarrassment or offence (to the member, the giver or any other) if it were declined, then the member should record its receipt in writing immediately to the Board Secretary.

iii. In these circumstances the gift should either be accepted by and given to the Board, or registered if it's to be kept for personal use. If either is the case, it might also be helpful to ask the advice of the Chair or Chief Executive.

iv. Gifts of little value (i.e., less than £15.00) don't need to be recorded, nor reasonable hospitality when it relates to members' work for the Board.

v. Attendance at social events and occasions where the invitation is clearly made because of the member's connection with the Board is also acceptable, but they should not accept lavish hospitality. Members should take care not to accept hospitality from the same organisation too often or without doing the same in return where appropriate. For example, if there is a need for a follow-up meeting or lunch, this should be provided by the Board and not by the other organisation.

vi. Offers of gifts and hospitality and any acceptance is reported through the quarterly Compliance Report to the Audit and Risk Committee.

Register of interests – Guidance for Board members

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Gofal Cymdeithasol Cymru
Social Care Wales

Register of Interests

An effective Social Care Wales Board will provide good governance and leadership by behaving with integrity. The Board will:

- safeguard and promote our organisation's reputation
- act according to high ethical standards
- identify, understand and manage conflicts of interest and loyalty
- maintain independence of decision making
- deliver impact that best meets the needs of stakeholders.

Why?

The Board, both individually and together, have ultimate responsibility for the funds and assets, of the organisation including its reputation. The Board takes the lead in setting and championing the values and ethos of Social Care Wales. It is vital, therefore, that the Board maintains the respect of partners and the public, by behaving with integrity both when acting as Board Members and more generally. To behave otherwise risks bringing Social Care Wales and its work into disrepute.

We have a duty to set up, maintain and make publicly available a Register of Board Member interests. The purpose of the Register of Interests is to provide information about certain financial and non-financial interests which might be thought by others to influence actions taken in the capacity as a Board Member.

The categories of Registrable Interest: guidance

This guidance note sets out the categories of interests which Board Members must register.

These categories are listed below with explanatory notes designed to help Members decide what is required when registering their interests under any particular category.

Remuneration

Members have a Registrable Interest where they receive remuneration by virtue of:

- being employed
- being self-employed
- being the holder of an office
- being a director of an undertaking

- being a partner in a firm
- undertaking a trade, profession or vocation or any other work

Remuneration received as a member of a public body should be registered (except as Member of Social Care Wales).

If a position is not remunerated it does not need to be registered under this category. However, they must note that unremunerated directorships may need to be registered under the category of 'Related undertakings'.

If Board Members receive any allowances in relation to membership of any organisation, the fact that you draw such an allowance must be registered.

When registering employment, they must not only give the name of the employer and the nature of its business, but also indicate the nature of the post held in the organisation or the services for which the organisation pays them.

When registering self-employment, they must provide the name and give details of the nature of the business. When registering an interest in a partnership, Board Members must give the name of the partnership and the nature of its business.

When registering a directorship, it is necessary to provide the registered name of the undertaking in which the directorship is held and give a broad indication of its business.

Where they undertake a trade, profession or vocation, or any other work, the detail to be given is the nature of the work and its regularity. For example, if they write for a newspaper, they must give the name of the publication and the frequency of articles for which they are paid.

Registration of a pension is not required as this falls outside the scope of the category.

Related undertakings

Members have a Registrable Interest where they are a director of a related undertaking but do not receive remuneration as such a director.

For this purpose, a related undertaking is a parent or subsidiary undertaking of an undertaking of which they are a director and receive remuneration as a director.

Board Members must register any directorships held which are themselves not remunerated but where the company (or other undertaking) in question is a subsidiary of, or a parent of, a company (or other undertaking) in which they hold a remunerated directorship.

Board Members must register the name of the subsidiary or parent company or other undertaking and the nature of its business, and its relationship to the company or other undertaking in which they are a director and from which they receive remuneration.

Any other unremunerated directorships do not require to be registered but they may be registered in the 'Miscellaneous' category.

Contracts

Members have a registerable interest where they (or a firm in which they are a partner, or an undertaking in which they are a director or in which they have shares of a value as described below) have made a contract with Social Care Wales. Board Members must register a description of the contract, including its duration, but excluding the consideration.

Heritable property

You have a Registrable Interest where you own or have any other right or interest in heritable property including your main home or any holiday home in Wales.

For the purposes of this paragraph, 'heritable property' means land or any right or interest in or over land, including houses and other buildings and a lease of property.

You are required to indicate the location of any registrable heritable property.

Interest in shares and securities

Board Members have a Registrable Interest where they have an interest in shares of a company or other body, whether that interest is held by a relevant person, and the nominal value of the shares at the relevant date is:

- greater than one per cent of the issued share capital of the company or other body
- greater than £25,000

Where they have an interest in shares comprised in the share capital of a company or other body at the date on which they became a member of Social Care Wales or, the relevant date is:

- that date
- the 5 April immediately following that date and in each succeeding year, where the interest is retained on that 5 April

Where Board Members acquire an interest in shares after the date on which they became a member of Social Care Wales or, if later, the date of this guidance coming into effect, the relevant date is:

- the date on which the interest in shares was acquired
- the 5 April immediately following that date and in each succeeding year, where the interest is retained on that 5 April

For the purposes of this paragraph, a ‘relevant person’ is a person who is subject to their control or direction in respect of an interest in shares.

The issue of the ‘relevant date’ is important in understanding when an interest in shares becomes a Registrable Interest. In terms of this guidance, the nominal value of shares needs to be taken into consideration only at the ‘relevant date’. For example, where they owned shares in a company on 1 December 2021 which had a nominal value of £20,000 and subsequently acquired an interest in shares with a nominal value of more than £5,000, the total interest in shares would now have a nominal value of more than £25,000, but they would only be required to register this interest in shares at the next 5 April. However, if at any time after 1 December 2021 they acquire shares with a nominal value of more than £25,000 that would need to be registered straight away.

If Board Members have any other shareholdings which are not registrable, they may wish to register them in the ‘Miscellaneous’ category.

Non-financial Interests

Board Members may also have significant non-financial interests and it is equally important that relevant interests such as membership or holding office in clubs; societies and organisations, such as voluntary organisations, are registered and described.

In this context, these interests are those non-financial interests which members of the public might reasonably think could influence their actions, speeches or votes in conduct of Social Care Wales’ business.

Interests of Other Persons

Board Members should indicate any relevant and known interest held by their spouse, partner or close family or wider family circle which may provide a conflict of interest with their position as either a Board or Committee member of Social Care Wales.

Other Interests

Board Members should consider other interests for declaration on whether a reasonable third party might consider that the objectivity of the views of Members might be affected.

Gofal Cymdeithasol Cymru
Social Care Wales

Selecting a Deputy Chair of the Board

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Official

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This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified.

Selecting a Deputy Chair of the Board

1. Background

Our Standing Orders (the document that sets out how the Board should be run) allow for a Deputy Chair of the Board to be chosen.

The role of the Deputy Chair is to stand in for the Chair if they can't carry out their duties. This could be because they're ill or because they already have another commitment.

2. Criteria for a Deputy Chair

There are certain rules that apply when choosing a Deputy Chair of the Board:

- Members must appoint the Deputy Chair
- The Deputy Chair must be a lay person (a member of the public, someone who uses services or a carer)
- The Chair will determine the length of the Deputy's term (but it cannot be longer than the member's term of office)

The Deputy Chair can resign at any time by writing to the Chair.

If the Chair of the Board resigns or can't continue as the Chair, because of illness or another reason, the Deputy Chair will take over the duties of the Chair until a new Chair is appointed. In this event and the Deputy Chair wants to resign, they must write to the Welsh Minister to inform them of their decision.

The requirements of the Deputy Chair will be the same as the Chair's. The Chair should keep the Deputy Chair up to date on matters (this could be through e-mail or through regular meetings).

3. Choosing a Deputy Chair

The process for choosing a Deputy Chair is as follows:

- Members nominate themselves
- All members of the Board vote in a secret ballot
- The person with the highest number of votes is appointed the Deputy Chair

Gofal Cymdeithasol Cymru
Social Care Wales

Code of Conduct for the Social Care Wales Board

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Social Care Wales Board

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Senior Governance Officer

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This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified

Code of Conduct for the Social Care Wales Board

1. Representing Social Care Wales

As a member of the Social Care Wales Board you are representing the organisation. This means not only when you are attending the Board or Committee meetings, but also when you attend events on our behalf.

Some people may consider that what you say and do as part of non-Social Care Wales work, you are still speaking on our behalf, so you need to be aware of the behaviour expected from you in order to represent us well.

This Code of Conduct (code) is a set of guidelines for Social Care Wales Board Members appointed by the Deputy Minister for Social Services. This code sets out what you should and shouldn't do, as well as some laws and policies you must comply with. If the Chair or Social Care Wales Officers become concerned about your behaviour or action you have taken, this code will be used to decide whether you have gone against any part of it and if your behaviour and actions have put our reputation at risk.

2. Values

A person's values drive their behaviours. **You should** display behaviour that reflects our values:

Social Care Wales values

1. **Respect** everyone: Seeing people as individuals and treating everyone with dignity and respect
2. **Professiona**l Approach: Acting responsibly and appropriately, holding each other to account
3. Always **Learning:** Improving ourselves and supporting others to be the best we can be
4. Involve **People:** Encourage and enable everyone to work together

'One Welsh Public Service Values' and uphold well-being delivery principles:

Academi Wales Public Service values	**Principles of the Future Generation and Well-being Act**
Working for the Long Term: To safeguard the ability of future generations to meet their own needs, requires real long-term integration and collaboration addressing the well-being of people and communities, economic prosperity and the health of the natural environment.	**Long-term thinking:** balancing short-term needs with safeguards to meet long-term needs.

Always Growing and Improving: We will be at our best for citizens and each other by choosing positive attitudes and behaviours, embracing learning and development and sharing ideas on ways to improve and deliver public services.	**Prevention:** actions to prevent problems getting worse and **Integration** considering how our objectives may impact on those of others.
Working Together: Where everyone involved in the delivery of public services, values others contributions, shares common principles and collaborates for the benefit of the people of Wales, within and across organisational boundaries and sectors.	**Collaboration:** working with other bodies that can help meet our aims.
Treating Everyone With Respect: Recognising, valuing and respecting the diversity of the people of Wales is central to seeing people as individuals and doing the right thing, at the right time and in the right place for citizens and each other.	**Involvement:** involving people and communities with an interest in helping meet our aims.
Putting Citizens First: Our organisations need to be focussed on the needs of the people of Wales. This requires us to genuinely involve people in decision making which impacts them and their communities.	

As someone who is publicly appointed by a Welsh Minister, **you must** follow the seven principles of public life[3], also known as the 'Nolan Principles'. These are:

1. **Selflessness – you must** act only in the public interest. This means **you must not** use your status as a Board Member to your personal advantage or to disadvantage others.

2. **Honesty – you must** be open with us about any other work or personal interests that might be important to your duties as a Board Member. **You must** also take action to make sure one doesn't conflict with the other, for example if you own a care home and the Board makes a decision on how care homes are run, **you must** declare the decision will affect your other role.

[3] https://www.gov.uk/government/publications/the-7-principles-of-public-life

3. **Integrity and Propriety – you must not** put yourself in a position where your integrity is called into question by taking a bribe or be part of an agreement with a person or organisation than can seem to be a bribe. **You must** report any occasion where someone tries to influence you into making a decision that would benefit them to the Chair of Social Care Wales as soon as possible.

4. **Objectivity** – **you must** always make your choices and decisions based on evidence.

5. **Openness - you must** be as open as possible about all of your actions. **You must not** share confidential information unless you have been asked to by law.

6. **Accountability** – as a Social Care Wales Board Member, you answer to the public for your actions (and the actions of the Board) and the way you carry out your responsibilities as a member. **You must** be prepared to put yourself under a level of scrutiny that is appropriate (to your responsibilities).

7. **Leadership - you must** promote and support these principles through leading by example. This will support the public's confidence your role and in our organisation.

2. Confidentiality

Most of the information you receive as a Board Member will also be available to the public on our website. However, committee meetings and some Board Meetings will be held in private and the reports for these meetings will be confidential (Official: Sensitive) and the papers will highlight this. **You must not** share any papers marked 'confidential' (Official: Sensitive).

You should check with the Chair of Social Care Wales or the Board Secretary before sharing reports or meeting papers that are marked 'draft' in case they are not ready for the public to see. If you are not sure if something is still draft, please ask.

Maintaining confidentiality is important before, during and after meetings. **You should not** share any confidential information you have seen or heard in a private meeting or been given as part of your role, unless you are asked to do so by law.

You must take care to keep confidential reports secure, whether these are hard copies or electronic. **You should not** discuss confidential matters with your colleagues where you may be overheard by people who do not work for Social Care Wales.

You must immediately notify the Chair or Chief Executive if you know about a breach of confidentiality.

3. Treatment of Official Information

You must not use any knowledge gained from your role as a Social Care Wales Board Member to your personal advantage or personally profit in any way.

If you have any doubt about how to balance your work with us and other roles you may have, **you should** discuss it with the Chair or Chief Executive.

4. Financial and Other interests

You must tell us if you have a financial interest in an organisation that could be seen as a conflict with your Social Care Wales role. You can do this by completing our 'Declaration of Interest' form, but you should have already been open about any existing business or other financial investments you have when you completed Welsh Government's 'Conflict of Interest and Other Material Information' form.

If there are any changes to what you have told either us or the Welsh Government, **you must** let us know as soon as possible. Do not wait to be asked. If you are not open about other work you are involved in, the public could believe you are influencing Board decisions for your own financial gain.

You must tell us if you receive any gifts or offers of hospitality from anyone as part of your role. **You must** complete our 'Gifts and hospitality form' (please request from the Board Secretary). In some instances, you will be entitled to keep / use the gift, other times we may have to return it / decline an offer or invite, so it is not seen as a bribe.

You should complete any claims for expenses on time and read the guidance of what are the current rates and what can be reclaimed as part of your role. Remember Board Members' expense claims are published on our website.

5. Business appointments / acceptance of appointments during term of office and following resignation or retirement

You should tell us and the Welsh Government when you take up your role as a Social Care Wales Board member about any other existing appointments, for example if you sit on another Board.

While you are a Social Care Wales Board Member, **you should** talk to us before you agree to take up any new appointments.

Once your term at Social Care Wales has ended, **you should** still think carefully before taking up any appointment that may create, or been seen as creating, conflict with your last role with us. **You should** talk to the Welsh Government before taking up any new roles if you are not sure whether there may be a conflict.

6. Political activities

Social Care Wales is a politically neutral organisation. As our Board Member, **you are banned** from membership of the House of Commons[4], and the Welsh Parliament[5].

As a Board Member, whether working full time or part time, **you should not** work as an officer with any managerial or decision-making duties for any political party (or organisations linked to a political party) which puts forward candidates at local, general, and Welsh Parliament elections.

If you are planning to campaign on behalf of a political party, **you must** discuss it with the Chair and get their agreement first. **You should not** take part in controversial political activity.

While you are our Board Member, **you should** remember the responsibility you hold and the public attention you may receive as part of your work with us. With that in mind, **you should not** make political speeches, campaign for a political party or carry out any lobbying activity. If you wish to do this, **you should** discuss it with the Chair of Social Care Wales first. **The Chair must** then discuss it with Welsh Government before coming back to you with a decision.

As a Board Member, you have been asked to tell us if you have held office with any political party in the last five years, which means held a role that is publicly recorded.

These limits do not apply if you are a local councillor or a Peer in the House of Lords[6]. You are free to engage in any political activities that agree with the Electoral Commission's recommendations.

If you are a member of a trade union, co-operative society, trade association, professional body etc., you are free as a Board Member to keep those memberships or links as long as they don't conflict with the interest of Social Care Wales.

You are allowed to make speeches that are not political without the agreement of Welsh Government, but remember that as you hold a public office, there will be an expectation from the public that you are professional and show self-control. If you are making a speech on behalf of Social Care Wales, **you must** clear what you are going to say with the Chair and Chief Executive.

You will receive guidance whenever there are local and general elections which **you must** read and follow. If you are unclear about how to apply the rules about political activity, **you should** discuss it with the Chair, Chief Executive or get guidance from the Welsh Government.

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[4] Section 1 (1) (f) of the House of Commons Disqualification Act 1975
[5] The Senedd Cymru (Disqualification) Order 2020
[6] Members who are also members of the House of Lords should refer to the conduct expectations set out in the Statement made by Lord Addison in the House on 21 March 1951.

7. Breach of the Code

If anyone claims you have not complied with any of the rules above, it will be reported to the Chair, and we will ask for details in writing before deciding whether there is enough evidence of a potential breach of this code to need an investigation.

If the Chair decides an investigation is required, an appropriate member of our staff, possibly one of the directors, will look into the matter and produce a report with recommendations for the Chair.

If the Chair believes this code has been breached, then the matter will be sent to Welsh Government for it to take action, which may lead to you being removed as a member of our board.

Further details regarding how we will manage a complaint made against a Board Member can be seen at Annex 1. If a complaint is received against a Board Member, the individual Board Member concerned will be supported through the consideration of the complaint and subsequent investigation should it be deemed necessary.

Board Members will be kept informed regularly on the progress of the complaint against them, next steps and timescales as necessary. If a complaint is made against a Board Member, the Board Members in question will be asked to attend a face-to-face meeting with the Chair and Complaints Officer of Social Care Wales to discuss the complaint as well as consideration of any additional support the Board Member may require whilst the complaint is investigated.

Annex 1

Gofal Cymdeithasol Cymru
Social Care Wales

Managing Complaints Concerning Social Care Wales Board Members

1. Introduction

1.1 Social Care Wales Board members are publicly appointed by the Welsh Ministers. Our Board members are representatives of Social Care Wales and our values and as such, have to abide by a Code of Conduct (code). The code is a set of guidelines for Social Care Wales Board Members setting out the behaviour expected of them as well as laws and policies with which they must comply. Board Members are also expected to follow the principles of public life[7], also known as the 'Nolan Principles'.

1.2 If a concern is raised about a Board member's behaviour or action they have taken, this code will be used to decide whether the Board Member has gone against any part of it and, depending on the nature of the concern raised, it may escalate to the National Assembly for further investigation and action.

1.3 This document is for members of the public, Social Care Wales's stakeholders, Social Care Wales Board Members and other staff and explains how any complaints received about our Board Members will be managed.

2. Making a complaint

Who can make a complaint about a Board member?

2.1 Anyone can make a complaint as long as:

- they have direct knowledge of the behaviour they are complaining about
- the complaint is in writing and not anonymous
- they can tell us specifically what they believe the member has done which has broken the code (they may be asked to give some direct evidence about this)
- they are prepared for their name and what they say in the complaint to be passed on to the member and possibly be made public
- the complaint is submitted within 6 months of the matter taking place.

What can the complaint be about?

[7] 7 Principles of Public Life, Committee on Standards in Public Life, May 1995

2.2 The complaint must be related to a Board Member's conduct. Any concerns or complaints about Social Care Wales's service or practices as an organisation should be sent to the Complaints Officer of Social Care Wales: complaints@socialcare.wales

2.3 Part of a Social Care Wales Board Member's role is to discuss and debate issues that come before them in meetings. While the discussions should always be respectful of everyone's views, it is possible that members may disagree. The code is not intended to inhibit healthy debate.

2.4 The following are examples of ways in which a Board Member may break the code:

- behaving in a way that negatively affects Social Care Wales's reputation
- using their position as a Board Member for their personal advantage or to disadvantage someone else
- using Social Care Wales's resources inappropriately
- failing to declare an interest
- using bullying and / or inappropriate behaviour
- failing to treat everybody equally
- revealing confidential information without good reason

How to make a complaint

2.5 Complaints regarding Board Members must be made in writing and sent to the Chair of the Board and the Complaints Officer by email: complaints@socialcare.wales

2.6 The complaint should outline as much detail as possible, including dates, any supporting written evidence and the names of anyone who may have witnessed the alleged breach of the code.

3. What happens once a complaint is received?

3.1 The Chair's office will write to the person making the complaint (complainant) to acknowledge it has been received. It will then be assessed by the Chair and Social Care Wales's Complaints Officer to decide whether:

- it will be investigated – sometimes we may contact the complainant for further information before deciding.
- If it is decided that we will not investigate, we will give our reasons when responding to the complainant.
- If the complaint is to be investigated, we will let the complainant know when we have started and what the outcome is.

3.2 In deciding whether to take the complaint forward, the Chair and Complaints Officer will consider whether there is evidence to suggest a breach of the code took place and if so, the severity of the breach and how the investigation will

be managed. It is possible it will be undertaken by one of the Directors of Social Care Wales.

3.3 It is possible the Complaints Officer and Chair will conclude there is no breach of the code, however, the complaint is sufficient enough for the Chair to address it with the Board Member it concerned. If the complainant is not satisfied with this outcome, they have a right to appeal the decision and details will be provided on how to do this.

4. Investigating the complaint and action to be taken

4.1 If it is felt the matter needs to be investigated, the Complaints Officer or relevant Director will gather evidence and provide a report with recommendations for the Chair. These recommendations can include (but are not limited to):

- Closing the investigation with no further action
- Providing the Board Member with relevant training
- Inviting the complainant and Board Member to enter a mediation process
- Issuing a written warning to the Board Member
- Escalating the complaint to the Minister and Welsh Government sponsor division

4.2 If it is felt the investigation outcome is serious enough that it could call in to question the Board Member's suitability to stay in their role, then the complaint will be escalated to Social Care Wales's sponsor division in Welsh Government and the matter will be highlighted to the Minister that appointed them. They may then wish to undertake their own investigation and may recommend the Board Member is suspended while this happens.

4.3 Throughout the whole investigation process, both the complainant and the Board Member will be kept informed of its progress.

4.4 Following this process, if the complainant feels the issue hasn't been sufficiently resolved, then their concern will be escalated to the Welsh Government sponsor division in the first instance and the National Assembly for Wales.

Role and responsibility of being a Board member

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Code of conduct for Board members

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This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified

Role and responsibility of being a Board member

1. Role purpose

The Board is collectively responsible for ensuring the success of Social Care Wales and its compliance with all legal and regulatory obligations by directing and supervising its affairs.

2. What is the role of the Social Care Wales Board?

In line with the Welsh Government Model Governance Framework and Managing Welsh Public Money[8] the role of the Board is to:

- provide effective leadership; defining and developing strategic direction and setting challenging objectives;
- promote high standards of public finance, upholding the principles of regularity, propriety and value for money;
- ensure that Social Care Wales' activities are conducted efficiently and effectively; and
- monitor performance to ensure that Social Care Wales fully meets its aims, objectives and performance targets.

3. Scope of the role

The Board may, to the extent permitted by the Regulation and Inspection of Social Care (Wales) Act 2016 delegate to staff responsibility for the administration of day-to-day management issues but it remains ultimately responsible and accountable for all those matters.

It is the Chief Executive's job to run the organisation. It is for the Board to provide the Chief Executive with direction on strategic priorities then support him/her to perform well and deliver against the priorities set. This boundary between the governance and management roles must be respected and clarified whenever necessary.

The personal responsibility of the Chief Executive as Accounting Officer[9] to ensure regularity, propriety and value for money in no way detracts from that of members of the Board, who each have a duty to act in a way that promotes high standards of public finance and for ensuring that Social Care Wales' activities are conducted in an efficient and effective manner. The Board must not give the Chief Executive instructions that conflict with his/her duties as Social Care Wales' Accounting Officer.

4. What is the Board responsible for?

[8] https://gov.wales/sites/default/files/publications/2018-10/managing-welsh-public-money.pdf
[9] Chapter 3 Managing Welsh Public Money – Accounting Officers

You need to be aware that the Board is responsible for:

- establishing and taking forward our strategic aims and objectives consistent with its overall purpose and within the policy and resources framework determined by the Minister
- ensuring that the Minister is kept informed fully of any changes that are likely to impact on our strategic direction of or on reaching our targets, and of steps needed to deal with such changes
- ensuring compliance with any statutory or administrative requirements in respect of the use of public funds; that it operates within the limits of its statutory authority and any delegated authority agreed with the sponsor department, and in accordance with any other conditions relating to the use of public funds; and that, in reaching decisions, it takes into account guidance issued by the Welsh Government
- ensuring that it receives and reviews regularly, financial information concerning our management; that it is informed in a timely manner about any concerns as to the activities of
- the organisation; and that, where applicable, it provides positive assurance to the Minister via the sponsor team that appropriate remedial action has been taken to address any such concerns
- demonstrating high standards of corporate governance at all times, including by using the Audit and Scrutiny Committee to help the Board to address key financial and other risks
- appointing a subsequent Chief Executive Officer to the organisation.

5. Personal responsibilities of individual Board members

You will be asked to work the equivalent of two days per month which, over the course of the year should be 24 days plus occasional training, public relations or other events related to your role as a Social Care Wales Board Member.

While doing your duties and responsibilities **you**:

- **will** comply at all times with the Code of Conduct for Board members, and with the rules relating to the use of public funds and conflicts of interest
- **will not** misuse information gained in the course of your public service for personal or political profit, nor use the opportunity of public service to promote your private interests or those of persons or organisations with whom you have a personal? relationship
- **will** comply with the rules on the acceptance of gifts and hospitality, and of business appointments
- **will** act always in good faith and in our best interests
- **will** be an ambassador for the organisation, including representing us with customers and other organisations who have an interest in our work
- **may be asked** to Chair, or participate where needed, in one or more of our Committees
- **will be required** to prepare for meetings in advance of scheduled meetings.

6. Values

A person's values drive their behaviours. **You should** display behaviour that reflects the following values:

Social Care Wales values

5. **Respect** everyone: Seeing people as Individuals and treating everyone with dignity and respect
6. **Professiona**l Approach: Acting responsibly and appropriately, holding each other to account.
7. Always **Learning:** Improving ourselves and supporting others to be the best we can be
8. Involve **People:** Encourage and enable everyone to work together

One Welsh Public Service Values and well-being delivery principles:

Social Care Wales values	**Principles of the Future Generation and Well-being Act**
Respect everyone: seeing people as individuals and treating everyone with dignity and respect	**Long-term thinking:** balancing short-term needs with safeguards to meet long-term needs.
Professional approach: acting responsibly and appropriately, holding each other to account	**Prevention:** actions to prevent problems getting worse and **Integration** considering how the group's objectives may impact on those of others.
Always **learning**: improving ourselves and supporting others to be the best we can be	**Collaboration:** working with other bodies that can help meet the aims of the group.
Involve people: encourage and enable everyone to work together	**Involvement:** involving people and communities with an interest in helping meet our aims.

Gofal Cymdeithasol Cymru
Social Care Wales

Use of Social Media: Guidance for Board Members

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This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified

Appendix 8

Use of Social Media: Guidance for Board Members

1. Introduction

Social media is a term for websites based on user participation and user-generated content. This includes social networking sites and other sites that are centred on user interaction.

The lines between public and private, personal and professional are hazy in online social networks. This guidance covers the responsibilities of Board Members both inside and outside of work.

2. Using social media outside work

The personal image you project on social media may adversely reflect on the image of Social Care Wales. **We recommend that you**:

Show yourself in your best light

By identifying yourself as a Board member on a social network, you are connected the rest of the world. **You should** ensure that content associated with you is consistent with your work with us.

Think twice

You should use mature discretion in all personal communications on social media. When using social media for personal purposes, you must not imply you are speaking on behalf of Social Care Wales.

Know your obligations

You must comply with our other policies when using social media. For example, you should be careful not to breach our confidentiality, copyright and commercially sensitive policies.

Show respect to all

You should be respectful of Social Care Wales and your fellow Board members. Derogatory comments are always wrong.

3. Using social media for communication at work

We encourage open conversation with people. We believe in dialogue between Board members and between Board members and members of the public.

We expect you to exercise personal responsibility whenever you take part in social media. You must be sure that you are presenting accurate information, ensure nobody is misled and that you are not breaking anybody's trust.

Each tool and medium has proper and inappropriate uses. While **we encourage** all Board members to join in conversations, it is important to understand what is recommended, expected and required when you discuss Social Care Wales-related topics.

4. Social media and meetings

We encourage Board members to keep people informed of social care and early years matters and the use of social media can help with this.

In line with the Standing Orders of the Board meetings all Members are expected to be focused on the discussions taking place within the Board meeting to ensure they actively contribute and take part in the discussions.

Officers from the Social Care Wales Communications team will tweet from the official Social Care Wales account during meetings as necessary.

Outside of the meetings you should only tweet agreed messages from the meeting and ensure that you don't tweet information from private sessions.

5. Protocol for social media use

If you already use social networks or blogs for personal use and you have indicated in any way that you are a Board Member, **you should** add a disclaimer that states that opinions on this site are your own. Remember that **if you break the law** using social media (for example by posting something defamatory), **you will be personally responsible**.

All information you post using social media is subject to the Freedom of Information Act.

6. Values

A person's values drive their behaviours. **You should** display behaviour that reflects Social Care Wales' values:

Social Care Wales values

- **Respect** everyone: Seeing people as Individuals and treating everyone with dignity and respect.
- **Professiona**l Approach: Acting responsibly and appropriately, holding each other to account.

- Always **Learning:** Improving ourselves and supporting others to be the best we can be.
- Involve **People:** Encourage and enable everyone to work together.

One Welsh Public Service Values and uphold well-being delivery principles:

Social Care Wales values	**Principles of the Future Generation and Well-being Act**
Respect everyone: seeing people as individuals and treating everyone with dignity and respect	**Long-term thinking:** balancing short-term needs with safeguards to meet long-term needs.
Professional approach: acting responsibly and appropriately, holding each other to account	**Prevention:** actions to prevent problems getting worse and **Integration** considering how the group's objectives may impact on those of others.
Always **learning**: improving ourselves and supporting others to be the best we can be	**Collaboration:** working with other bodies that can help meet the aims of the group.
Involve people: encourage and enable everyone to work together	**Involvement:** involving people and communities with an interest in helping meet our aims.

Travel And Subsistence Arrangements

Determination of travel and subsistence allowances for Chair, Board and Committee Members of Social Care Wales

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Other policies that should be read in conjunction with this policy: Members Care allowance policy

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This policy has been screened for relevance to equality / Welsh language / data/ climate change / Future Generations. No potential negative impact has been identified

Travel and subsistence arrangements: Determination of travel and subsistence allowances for Chair, Board and Committee members of Social Care Wales

The travel and subsistence arrangements outlined in this document are determined by the Welsh Government. The allowances set out are based on and decided by the Welsh Government and may be reviewed and amended.

TRAVEL EXPENSES

Journeys made by Public Transport

In order to ensure propriety and accountability for public funds, and to support the Assembly's sustainable development policy to protect the environment, members should always use public transport, where possible, whilst undertaking journeys on official Social Care Wales business. In such circumstances, members should book and pay for the journey themselves and claim the cost back from Social Care Wales. The claim should be for the actual cost of the journey supported by a receipt.

Whilst travelling by public transport, members should book in advance of their journeys to qualify for cheap rates.

Public Transport Rate

In order to ensure propriety and accountability for public funds, **members should use the public transport rate and share transport where possible**. A Public Transport Rate of 23.8 pence per mile is payable when a private motor car is used to reach a venue which is accessible and available to public transport.

Mileage and Travel Time

When checking mileage and travel time claimed by members whilst using private motor cars, officers may refer to the AA Route Planner to ascertain the average mileage and time for the journey taken. Where mileage and travel time claimed is in excess of the information supplied by the Route Planner, these will be reduced accordingly unless an explanation is received with the claim as to why the journey took longer and the mileage was more than expected.

Where a member uses public transport, the travel time claimed may be checked against the official timetable supplied by the relevant train, bus, plane company. If it is in excess of this information, the travel time will be reduced accordingly unless an explanation is received with the claim as to why the journey took longer than expected.

Mileage rates

Where it is **not** possible to use public transport to reach a destination, members can use the rates below:

Cars with engine capacity	Up to 1500cc (pence per mile)	Over 1501cc (pence per mile)
Up to 4,000 miles	40p	45p
Over 4,000 miles	25p	25p

Passenger Supplement

For journeys attracting standard mileage rates, two (2) pence per mile for first passenger carried, plus 1 pence per mile for each additional passenger. This may be paid over and above any limitation on mileage allowance.

For journeys attracting Public Transport mileage rate, two (2) pence per mile for first passenger carried, plus one (1) pence a mile for each additional passenger. These payments are restricted to:

- the distance which would have been travelled if the passenger's journey had started or finished at his permanent station; or
- the distance actually travelled if this is less than that above.

Cycle Journeys

Journeys by bicycle made on official business, attract a supplement of twelve (12) pence per mile.

Motorcycle Journeys

All journeys made by motor cycles on official business attract a standard supplement of 24 pence per mile.

Private motor cycles must be insured without financial limit against claims in respect of:

- bodily injury to or death of third parties
- bodily injury to or death of any passengers
- damage to the property of third parties.

Members must also ensure that under the terms of their insurance policy they can use the vehicle for business travel.

SUBSISTENCE RATES

Day Subsistence Allowance

Social Care Wales, as a public body, has to ensure propriety and accountability for public funds. Consequently, in claiming subsistence expenses, members must claim within, and up to, the thresholds outlined for subsistence in the table below. Any amount claimed over and above the subsistence limit will not be re-imbursed. Members will only be re-imbursed up to the subsistence level allowed for the day or period that they are away from their home on Social Care Wales business.

The re-imbursement of costs of alcoholic drinks is not allowed under any circumstances.

Receipts must be provided for all Day Subsistence Allowance claims

When travelling on official business where meals are **not** provided you are entitled to a Day Subsistence Allowance to acknowledge out of pocket expenditure.

The amount you are entitled to depends on the length of time you spend per day on official business (calculated from when you leave your office/home to when you return):

Duration on Official Business	Entitlement
More than 5 hours	£ 4.25
More than 10 hours	£ 9.30
More than 12 hours	£13.55

If you spend less than five hours on any given day on official business, you are not entitled to Day Subsistence Allowance for that day.

Official Business where meals are provided

Where meals **are** provided your claim must be adjusted accordingly as set out in the matrix below:

Period Away	Over 5 hrs and up to 10 hrs		Over 10 hrs and up to 12 hrs			Over 12 hrs			
Meals Allowed	**1**		**2**			**3**			
Meals Provided	**0**	**1**	**0**	**1**	**2**	**0**	**1**	**2**	**3**
Entitled to Claim	**£4.25**	**£0**	**£9.30**	**£4.25**	**£0**	**£13.55**	**£9.30**	**£4.25**	**£0**

Over Night Subsistence Allowance

Social Care Wales members are normally expected to make their own arrangements regarding evening meals when on Social Care Wales business within subsistence limits. If overnight accommodation is required, please contact the Governance Senior Officer to arrange. However irrespective of how the accommodation is arranged if the accommodation relates to a journey to either of our Cardiff or St Asaph offices you will be required to settle the bill and be reimbursed accordingly.

Where members make their own arrangements, having had agreement from the Governance Senior Officer you may claim as follows:

London

If you are travelling on official business to London, you may claim:

Actual cost of Bed and Breakfast or hotel up to a ceiling of £90.00 a night, supported by a receipt. You can claim subsistence up to £13.55 for each day either side of your stay, adjusted according to any meals received, and according to the length of time you are away from home, supported by a receipt. You can also claim a Personal Incidental Allowance of up to £5.00 per night supported by a receipt.

Outside London

Outside London, you may claim the actual costs of Bed and Breakfast accommodation or Hotel up to a ceiling £73.00 a night, supported by a receipt. You can claim subsistence up to £13.55 for each day either side of your stay, adjusted according to any meals received, and according to the length of time you are away from home, supported by a receipt. You can also claim a Personal Incidental Allowance of up to £5.00 per night, supported by a receipt.

Please note that receipts must be provided for **all** Overnight Subsistence Allowance claims and any associated Personal Incidental Allowance claim.

Staying with friends or relatives

If you choose to stay with friends or relatives, in London or elsewhere, you may claim £25.00 a night, plus a Personal Incidental Allowance of up to £5.00 per night, supported by a receipt. No other subsistence rates can be claimed.

Please note the £25 allowance will be subject to deduction of tax and national insurance contributions

Examples of claims

A couple of examples of the subsistence a member can claim are outlined below:

Example 1

Where a member travels to a hotel and is provided with overnight accommodation and an evening meal, he/she can claim up to the maximum £9.30 subsistence, depending on the length of time taken between leaving his/her home and arriving at the hotel, supported by a receipt. Where the member is provided with breakfast and lunch on the following day, and then travels home, he/she is allowed to claim up to the £4.25 subsistence, depending on the length of time between leaving the hotel and arriving at his/her home, supported by a receipt. The member can also claim the Personal Incidental Allowance of up to £5.00 for the night, supported by a receipt.

Example 2

Where a member travels to a hotel and is provided with overnight accommodation but no evening meal, he/she can claim up to the £13.55 subsistence, depending on the length of time between leaving his/her home and arriving at the hotel, supported by a receipt. Where a member is provided with breakfast and lunch on the following day, and then travels home, he/she is allowed to claim up to the £4.25 subsistence, depending on the length of time between leaving the hotel and arriving at his/her home, supported by a receipt. The member can also claim the Personal Incidental Allowance of up to £5.00 for the night, supported by a receipt.

Please remember: in claiming subsistence expenses, members must claim within, and up to, the thresholds outlined for subsistence in the table above. Any amount claimed over and above the subsistence limit will not be re-imbursed. Members will only be re-imbursed up to the subsistence level allowed for the day or period that they are away from their home on Social Care Wales business.

Please note: Any travel or subsistence claims made in relation to journeys to the Cardiff or St Asaph Offices which for tax reasons is considered to be your office base will be subject to tax and national insurance. However, any liability for tax and national insurance will be settled by Social Care Wales through “grossing up” when the reimbursement is made.
This is based on the rationale that the HMRC would consider the offices at both Cardiff and St Asaph to be a **permanent workplace** as the duties of your role are performed to a significant extent at these places.

Expenses to other places/venues would be classified as a **temporary workplace** as the purpose of your duties are of a limited duration and for a temporary purpose. These expenses would not be subject to tax and national insurance and therefore there would be no requirement to “gross up” these expenses

Other Allowances and Expenses

Childcare and carers expenses (Dependant Care)

You may be re-imbursed for reasonable, actual receipted costs for expenditure incurred for childcare or other carers expenses whilst on the business of Social Care Wales. Costs will only be re-imbursed where the requirement for child care or carer has been officially notified to Social Care Wales prior to the event.

Any reimbursement for Dependant care is subject to tax and national insurance. However any liability for tax and national insurance will be settled by Social Care Wales through “grossing up” when the reimbursement is made.

Costs incurred for Relatives and Friends

Re-imbursement will not be provided for any costs for additional expenditure incurred by members for relatives or friends accompanying members whilst the member is on Social Care Wales business.

Car parking costs

Free parking or the cheapest parking facilities available should be used by members wherever possible. Where parking costs are incurred, members must pay the fee and claim it back from Social Care Wales. The claim should be supported, where reasonable and appropriate, by an official receipt. Illegal parking will not be condoned or paid for.

These Guidance Notes and Rates are based on Welsh Government travel and subsistence guidance notes and rates.

Gofal Cymdeithasol Cymru
Social Care Wales

CYFARFOD / MEETING	**Board Meeting**				
	PREIFAT / PRIVATE			**CYHOEDDUS / PUBLIC**	
	☐			☒	
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA AGENDA ITEM	**13**				
TEITL / TITLE SCW/22/16	**Social Care Wales's Committees terms of reference**				
AWDUR / AUTHOR	Llinos Bradbury, Board Secretary				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – Audit and Risk Committee Terms of Reference Appendix 2 – Improvement Committee Terms of Reference Appendix 3 – Regulation and Standards Terms of Reference Appendix 4 – Remuneration Committee Terms of Reference Appendix 5 – Board Standing Orders extract – Attendance at Board meetings				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	Priority theme 4: our organisation Ensuring continuous improvement of how we do our work to be an effective and efficient Welsh public service organisation				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	☒	☐	☐	☒	☐
ARGYMHELLIAD / RECOMMENDATION	Board members are asked to: - **Review** and **approve** the terms of reference for the Committees; and - **Approve** the addition of the Chair of the Staff Partnership Council as a participating observer at Remuneration Committee and Board meetings.				
ASESIADAU EFFAITH / IMPACT ASSESSMENTS					

Social Care Wales's Committees terms of references

1. Context

1.1 Our Committees terms of reference are reviewed on an annual basis to ensure that the framework for how the Committee will work, it's role and remit remains reflective of how the Committee operates.

1.2 Recent changes to the Committees terms of reference include increasing the quoracy to 4 (apart from Remuneration Committee) and adding 'reviewing ICT and cyber resilience controls' to the Audit and Risk Committee responsibilities.

1.3 Following the recent effectiveness review of the Board and its Committees it was clear that Board are keen to ensure that they are hearing directly from staff where possible, it is therefore suggested that the Chair of the Staff Partnership Council (SPC) is added as a participating observer member to the Remuneration Committee Terms of Reference (appendix 4), and to the Board Standing Orders (appendix 5).

1.4 It is also proposed that any changes to Senior Management Pay is considered by the Remuneration Committee and a recommendation made to Board for approval prior to submission to Welsh Government in recognition of the sensitivities surrounding any changes at this level.

1.5 For Audit and Risk Committee, Improvement Committee and Regulation and Standards Committee it is proposed that the minimum number of members on the Committees is increased from 4 to 6 in recognition of the increase in membership at these Committees. It is also suggested that references to maximum number of years that can be served on a Committee is removed as Board members may sit on a certain Committee for the whole of their term dependent on their skill set.

1.6 Following approval of the new Strategic Plan work will be undertaken to align the strategic objectives of the Committees with the objectives within the Strategic Plan, this will return to the Board in July for approval.

1.7 No further changes are being proposed to the Terms of Reference for the 4 Committees.

2. Resource implications

2.1 It is within the Board Secretary's annual workplan to review the Committees terms of reference.

3. Risk and assurance

3.1 No risks are noted on the risk registers in relation to this work.

4. Engagement

4.1 Board members have the opportunity to review and approve the Committees terms of reference on an annual basis.

5. Impact

5.1 Reviewing the Committees terms of reference regularly ensures that they are reflective of how the Committee operates and Committee members are clear on the powers and responsibilities of the Committees that they are a member of.

Gofal Cymdeithasol Cymru
Social Care Wales

Audit and Risk Committee

Terms of Reference

1. What is the Audit and Risk Committee?

1.1 The Audit and Risk Committee is a Committee of the Social Care Wales Board. It works within the same governance processes that apply to the Board. The Audit and Risk Committee is a mandatory Committee as set out in the Model Governance Framework.

1.2 The purpose of the Committee is to support the Accounting Officer (Chief Executive) and the Board in monitoring the organisation's governance arrangements, risk management and internal controls.

1.3 The Committee has been given authority by the Board to make certain decisions, and the terms of reference explains what decisions the Committee can make. However, the Board is still responsible and accountable for all the decisions and actions taken in its name. This means that the Board has the right to change or overturn any decision or action of the Audit and Risk Committee if it feels it goes against Social Care Wales policy or goes against the Board's interests.

1.4 The terms of reference will be reviewed formally annually to make sure that they are up to date.

2. Powers and Responsibilities of the Committee

2.1 The standing orders for Social Care Wales sets out how Board and Committee meetings should be run – this includes the Audit and Risk Committee. The Committee will also follow the framework and advice set out in Social Care Wales's Model Governance Framework and Scheme of Delegation, *Managing Welsh Public Money*, which tells us how public bodies in Wales should use their money, and any guidance issued by the Treasury and/or Welsh Government that may be relevant.

2.2 The Committee's role is to advise the Board and it is authorised by the Board to investigate any activity within its terms of reference.

2.3 The Audit and Risk Committee may also establish and disestablish task and finish groups to consider matters related to its terms of reference if it feels this is necessary to fulfil its responsibilities.

2.4 No one other than Board members of the Audit and Risk Committee will have voting rights.

2.5 The Audit and Risk Committee may:

- ask external advisors to provide specialist skills, knowledge and experience;
- ask any member of staff of the Social Care Wales to attend to assist it with its discussions on any particular matter; and
- ask any or all of those who normally attend but who are not members to withdraw to allow open and frank discussion of particular matters.

2.6 The Audit and Risk Committee has the power to request attendance by any member of staff or Board Member to its Committee meetings or working groups to answer questions or provide information relating to their roles and accountabilities.

3. Responsibilities – the role of the Committee

3.1 The Audit and Risk Committee will provide support, advice and guidance to the Chair, Chief Executive and the Board by reviewing and providing assurances on:

- the strategic processes and effectiveness of risk management, internal control and governance
- ICT and cyber resilience controls
- the Governance Statement, accounting policies and the statutory annual accounts of the organisation, including the process for review of the accounts before their submission for audit, levels of error identified, and management's letter of representation to the external auditors
- the audit strategy and the planned activity and results of both internal and external audit
- adequacy of management response to issues identified by audit activity, including external audit's management letter
- assurances relating to the corporate governance requirements for the Board
- appoint Internal Audit provision and reviewing their effectiveness on an annual basis
- anti-fraud policies, whistle-blowing processes, and arrangements for special investigations.

3.2 In terms of effectiveness and impact of our work the Committee will identify areas of Social Care Wales business for effectiveness reviews. The

Committee will monitor how Social Care Wales learns from these reviews and how this contributes to improved performance.

4. Scope – the business areas of focus

4.1 The Audit and Risk Committee will recommend the organisation's Annual Statutory Accounts for the approval of the Board.

4.2 The Audit and Risk Committee has the following delegated responsibilities:

Strategy and Direction

- Provide a steer on the governance and risk arrangements
- Inform and respond to consultations on governance matters on behalf of the Board.

Accountability

The Audit and Risk Committee will consider:

- the Internal Auditors' annual report regarding the effectiveness of Social Care Wales's internal control and risk management systems
- the Internal Audit's three-year strategic audit plan, and annual plan
- the annual management letter from the external auditors and will agree the action of the recommendations, where appropriate, by the Audit and Risk Committee
- the appointment of the Internal Auditors

The Committee will review and consider:

- the processes for ensuring the effectiveness of the financial and other internal control systems
- relevant reports from the National Assembly, Welsh Government, HM Treasury, Audit Wales and other organisations, and monitor the implementation of relevant recommendations
- the compliance of Social Care Wales with mandatory requirements set out by the Welsh Government and HM Treasury
- Social Care Wales's policy on fraud including any action taken under that policy, and to ensure that all significant issues have been properly investigated, and reported as appropriate
- the assurance provided by external audit, internal audit and any other sources for ensuring compliance with the organisation's corporate governance requirements.

The Committee will advise:

- the Board on the selection and appointment of internal auditors, their engagement and the scope of work undertaken
- whether Social Care Wales has adequate systems and procedures in place to promote economy, efficiency and effectiveness.

The Committee will scrutinise:

- risk management arrangements
- the performance and effectiveness of external audit
- the scope and effectiveness of the internal auditors, which shall include the planning and operation of work
- the co-ordination between the internal and external audit functions
- the external auditors' annual report and monitor compliance with its recommendations.

Appointments and Authorities

Approve the Terms of Reference, to include delegation of authority, and membership of Task and Finish Groups relating to this committee.

Strategies and Policies

Approve:

- the strategic processes for risk, control and governance
- Social Care Wales's processes for the assessment and management of risk, including the risk register
- the appointment of Internal Audit
- Social Care Wales's Annual Statutory Accounts (having considered the Audit Wales Audit of Accounts Report) and Governance Statement prior to submission to the Board.

Consider and provide a steer to the Board on:

- strategic processes for risk, control and governance
- annual governance statement
- Committee terms of reference.

The Audit and Risk Committee will meet annually and in private with Social Care Wales's external auditors and the Head of Internal Audit.

Miscellaneous

Undertake any other matters as requested to do so by the Board

5. Review of effectiveness

5.1 The Accounting Officer will ensure there are regular opportunities to review the effectiveness of the arrangements for external members of the Audit and Risk Committee and formally recognise their contribution to the Committee and organisation.

5.2 The Audit and Risk Committee will also periodically review its own effectiveness and report the results of that review to the Board.

6. Role and Responsibilities of the Chair

6.1 The role of the Chair of the Audit and Risk Committee is an important element in achieving effectiveness. Good practice guidance and training will be provided.

6.2 The Chair of the Audit and Risk Committee should:

- ensure that minutes are produced for each meeting for information to the Board
- decide whether any additional reports or items should be prepared from the Audit and Risk Committee to the Board and the Accounting Officer on specific issues
- meet any newly appointed members as soon as possible after their appointment
- meet as required with the Accounting Officer and Chair of the Board
- meet at least once a year with Internal and External Auditors
- provide an annual assurance report to the Board on the work programme delivered by the Committee

6.3 A deputy Chair will be appointed, in line with the standing orders, to deputise in the absence of the Chair of the Committee.

7 Role and Responsibilities of members

7.1 Members of the Audit and Risk Committee are responsible for:

- bringing their experience and knowledge to monitor and review plans, reports and policies
- providing helpful ideas on how the plans, reports and policies will meet the aims of the organisation
- scrutinising the management information relating to the plans, reports and policies
- being open to ideas and work to reach compromises if required
- attending meetings regularly.

8. Appointment and Membership

8.1 The Chair and the members of the Committee shall be appointed by the Chair of the Board. The Chair of the Audit and Risk Committee will normally be a member of the Board.

8.2 The Committee will include a minimum of six ~~four~~ members of the Board with specific and appropriate skills and experience.

8.3 The Board may appoint up to two independent non-board members with relevant professional expertise on to the Committee.

8.4 No member of the Audit and Risk Committee may also be a member of staff, or have any executive authority for the management of Social Care Wales.

8.5 A quorum of four members will allow for the Committee to carry out its business. An independent member can be included in the quorum.

~~8.6 A member can sit for a maximum of two years on the Committee. This may be extended by the Chair of the Board depending on the composition of the Committee at the time~~.

8.7 The Chair of Social Care Wales is an ex-officio member of all Board Committees and should be regarded as additional to the specified membership.

8.8 The Chief Executive in her role as Accounting Officer and the Executive Directors will normally attend the meetings as will representatives of Internal Audit, Audit Wales and the Welsh Government.

9. Reporting and Review

9.1 The minutes of the meetings will be approved by the Chair of the Audit and Risk Committee.

9.2 Approved minutes of the Audit and Risk Committee will be made available on the members' portal and will be noted by the following Board meeting.

9.3 The Committee will provide the Board with an Annual Report summarising its conclusions from the work it has done during the year.

9.4 The Chair of the Audit and Risk Committee will have the right to bring to the Board's attention any matters of concern.

10. Meeting schedule and Support to Committee

10.1 The Audit and Risk Committee will normally meet four times a year. A work programme will outline the known areas of focus for consideration by the Committee.

10.2 The Chair may convene additional meetings as deemed necessary. The Board may ask the Committee to convene further meetings to discuss particular issues on which it wants the Committee's advice.

11. Access

11.1 Representatives of external and internal audit will have free and confidential access to the Chair of the Audit and Risk Committee.

Terms of reference agreed by Committee on 11 March 2021

Quorum of 4 agreed by Board on 16 July 2020

Gofal Cymdeithasol **Cymru**
Social Care **Wales**

Improvement Committee

Terms of Reference

1. What is the Improvement Committee?

1.1 The Improvement Committee is a Committee of the Social Care Wales Board. It works within the same governance processes that apply to the Board. The Improvement Committee has been established by the Board as set out in the Model Governance Framework.

1.2 The purpose of the Committee is to support and advise the Accounting Officer (Chief Executive) and the Board regarding matters to do with research, development and improvement of social care.

1.3 The strategic aims of the committee are to develop the workforce knowledge and skills to protect, empower and support those who need help; provide information for the public, the workforce and other organisations; provide improvement guidance and resources and set priorities for research to get evidence of what works well.

1.4 The Committee has been given authority by the Board to make certain decisions, and the terms of reference explains what decisions the Committee can make. However, the Board is still responsible and accountable for all the decisions and actions taken in its name. This means that the Board has the right to change or overturn any decision or action of the Improvement Committee if it feels it goes against Social Care Wales policy or goes against the Board's interests.

1.5 The terms of reference will be formally reviewed annually to make sure that they are up to date.

2. Powers and Responsibilities of the Committee

2.1 The standing orders for Social Care Wales sets out how Board and Committee meetings should be run – this includes the Improvement Committee. The Committee will also follow the framework and advice set out in Social Care Wales's Model Governance Framework and Scheme of Delegation, *Managing Welsh Public Money*, which tells us how public bodies

in Wales should use their money, and any guidance issued by the Treasury and/or Welsh Government that may be relevant.

2.2 The Committee's role is to advise the Board and it is authorised by the Board to investigate any activity within its terms of reference.

2.3 The Improvement Committee may also establish and disestablish task and finish groups to consider matters related to its terms of reference if it feels this is necessary to fulfil its responsibilities.

2.4 No one other than Board members of the Improvement Committee will have voting rights.

2.5 The Improvement Committee may:

- Through the Accounting Officer commission external advisors to provide specialist skills, knowledge and experience.
- ask any member of staff of the Social Care Wales to attend to assist with its discussions on any particular matter; and
- ask any or all of those who normally attend but who are not members to withdraw to allow open and frank discussion of particular matters.

2.6 The Improvement Committee has the power to request attendance by any member of staff or Board Member to its Committee meetings or working groups to answer questions or provide information relating to their roles and accountabilities.

3. Responsibilities – the role of the Committee

3.1 The Improvement Committee will provide support, advice and guidance to the Chair, Chief Executive and the Board by reviewing and providing assurances on:

- strategies and policies relating to principles for investment and improvement;
- strategies and policies relating to principles for investment of national learning and development;
- the quality assurance of the research, development and improvement programmes;
- the progress of related programmes against the targets set out in Strategic and Business Plans and matters relating to the performance of the role as Sector Skills Council in Wales;
- implications of developments in the field of early years and childcare workforce and how these may affect the Board's responsibilities; and
- the implementation of the Regulation and Inspection of Social Care (Wales) Act 2016 and Social Services and Well-being (Wales) Act 2014.

3.2 In terms of effectiveness and impact of our work the Committee will identify areas of Social Care Wales business for effectiveness reviews. The

Committee will monitor how Social Care Wales learns from these reviews and how this contributes to improved performance.

4. Scope – the business areas of focus

4.1 The Improvement Committee has the following delegated responsibilities:

Strategy and Direction

- Recommend principles for investment of national learning and development
- Recommend principles for sector investment and improvement in Wales
- Provide a steer on qualification frameworks for the social care, social work, early years and childcare workforces
- Consider evidence from the sector to influence workforce development and sector improvement policy in Wales
- Formally receive studies into the economy, efficiency and effectiveness of social care provision in Wales to support service national market stability reports
- Formally set out priorities for research and data / intelligence gathering
- Formally receive the delivery plan of the Sector Skills Council

Financial Stewardship

- Consider and provide a steer to Regulation and Standards Committee on registration fees
- Consider and provide a steer to the Board on funding schemes to support the training of social care and social work
- Monitor budget allocations and spend to deliver research, workforce development and sector improvement activities

Appointments and Authorities

Approve the Terms of Reference, to include delegation of authority, and membership of sub-committees relating to this committee, if necessary.

Strategies and Policies

Approve and monitor:

- Research strategy and its implementation plan;
- Improvement priority implementation plans;
- Priorities for research and data gathering;
- Memoranda of Understanding and Data Sharing Protocols with relevant partners;
- Operational and technical policies relating to research, data management and workforce development;
- Reports and guidance for publication relating to sector improvement;
- Sub-committee terms of reference, membership and minutes.

Consider and provide a steer to the Board on:

- Principles for investment of national learning and development;
- Qualification frameworks for the sector;
- Principles for investment regarding improvement;
- Terms of reference for this committee;
- Relevant performance activity as set out in the Business Plan

Miscellaneous

Undertake any other matters as requested to do so by the Board.

5. Review of effectiveness

5.1 The Improvement Committee will periodically review its own effectiveness and report the results of that review to the Board.

6. Role and Responsibilities of the Chair and Deputy Chair

6.1 The role of the Chair of the Improvement Committee is an important element in achieving effectiveness. Good practice guidance and training will be provided.

6.2 The Chair of the Improvement Committee should:

- facilitate constructive debate to aid decision making
- ensure that minutes are produced for each meeting for information to the Board
- decide whether any additional reports or items should be prepared from the Improvement Committee to the Board and the Accounting Officer on specific issues
- meet any newly appointed members as soon as possible after their appointment to aid their induction
- meet as required with the Accounting Officer and Chair of the Board
- provide a written annual assurance report to the Board on the work programme delivered by the Committee

6.3 A deputy Chair will be appointed, in line with the standing orders, to deputise in the absence of the Chair of the Committee.

7 Role and Responsibilities of members

7.1 Members of the Improvement Committee are responsible for:

- bringing their experience and knowledge to monitor and review plans, reports and policies

- providing helpful ideas on how the plans, reports and policies will meet the aims of the organisation
- scrutinising the management information relating to the plans, reports and policies
- being open to ideas and work to reach compromises if required
- attending meetings regularly and contributing to work in support of the committee
- considering how the work of the committee can be promoted as part of their ambassadorial role

8. Appointment and Membership

8.1 The Chair and the members of the Committee shall be appointed by the Chair of the Board. The Chair of the Improvement Committee will be a member of the Board.

8.2 The Committee will include a minimum of six ~~four~~ members of the Board with specific and appropriate skills and experience.

8.3 The Board may co-opt up to two independent non-board members with relevant professional expertise on to the Committee, if required.

8.4 No member of the Improvement Committee may also be a member of staff, or have any executive authority for the management of Social Care Wales.

8.5 A quorum of four members will allow for the Committee to carry out its business. Co-opted members will not be counted as part of the quorum.

~~8.6 A member can sit for a maximum of two years on the Committee. This may be extended by the Chair of the Board depending on the composition of the Committee at the time.~~

8.7 The Chair of Social Care Wales is an ex-officio member of all Board Committees and should be regarded as additional to the specified membership.

8.8 The Chief Executive in their role as Accounting Officer and the Executive Directors will normally attend the meetings or ensure a relevant senior manager is present to assist the committee.

8.9 All members of the Committee will be made aware of the business to be discussed at any meeting, even if they are not able to attend.

9. Reporting and Review

9.1 The minutes of the meetings will be approved by the Chair of the Improvement Committee.

9.2 Approved minutes of the Improvement Committee will be made available on the members' portal.

9.3 The Committee will provide the Board with an Annual Report summarising its conclusions from the work it has done during the year.

9.4 The Chair of the Improvement Committee will have the right to bring to the Board's attention any matters of concern.

10. Meeting schedule and Support to Committee

10.1 The Improvement Committee will normally meet four times a year. The Chair may convene additional meetings as deemed necessary.

10.2 The Board may ask the Committee to convene further meetings to discuss particular issues on which it wants the Committee's advice.

Terms of reference agreed by the Committee on 10 March 2021

Quorum of 4 agreed by Board on 16 July 2020

Gofal Cymdeithasol Cymru
Social Care Wales

Regulation and Standards Committee

Terms of Reference

1. What is the Regulation and Standards Committee?

1.1 The Regulation and Standards Committee is a Committee of the Social Care Wales Board. It works within the same governance processes that apply to the Board. The Regulation and Standards Committee has been established by the Board as set out in the Model Governance Framework.

1.2 The purpose of the Committee is to support and advise the Accounting Officer (Chief Executive), Registrar and the Board regarding matters to do with regulation of the social care workforce and regulation of training programmes for social work and social care.

1.3 The strategic aims of the committee are to set standards for the care and support workforce, making them accountable for their work, sharing best practice and exploring ways that regulation can support improvement in the sector.

1.4 The Committee has been given authority by the Board to make certain decisions, and the terms of reference explains what decisions the Committee can make. However, the Board is still responsible and accountable for all the decisions and actions taken in its name. This means that the Board has the right to change or overturn any decision or action of the Regulation and Standards Committee if it feels it goes against Social Care Wales policy or goes against the Board's interests.

1.5 The terms of reference will be reviewed formally annually to make sure that they are up to date.

2. Powers and Responsibilities of the Committee

2.1 The standing orders for Social Care Wales sets out how Board and Committee meetings should be run – this includes the Regulation and Standards Committee. The Committee will also follow the framework and advice set out in Social Care Wales's Model Governance Framework and Scheme of Delegation, *Managing Welsh Public Money*, which tells us how

public bodies in Wales should use their money, and any guidance issued by the Treasury and/or Welsh Government that may be relevant.

2.2 The Committee's role is to advise the Board and it is authorised by the Board to investigate any activity within its terms of reference.

2.3 The Regulation and Standards Committee may also establish and disestablish task and finish groups to consider matters related to its terms of reference if it feels this is necessary to fulfil its responsibilities.

2.4 No one other than Board members of the Regulation and Standards Committee will have voting rights.

2.5 The Regulation and Standards Committee may:

- Through the Accounting Officer commission external advisors to provide specialist skills, knowledge and experience.
- ask any member of staff of the Social Care Wales to attend to assist it with its discussions on any particular matter; and
- ask any or all of those who normally attend but who are not members to withdraw to allow open and frank discussion of particular matters.

2.6 The Regulation and Standards Committee has the power to request attendance by any member of staff or Board Member to its Committee meetings or working groups to answer questions or provide information relating to their roles and accountabilities.

3. Responsibilities – the role of the Committee

3.1 The Regulation and Standards Committee will provide support, advice and guidance to the Chair, Chief Executive and the Board by reviewing and providing assurances on:

- strategies and policies specifically in relation to the registration of social care workers and related fitness to practise matters;
- the quality assurance of the training regulation programme and receive regular reports on regulation matters;
- the progress of regulation and standards activities agreed within the Strategic and Business Plans;
- implications of developments in the field of regulation and how these may affect the Board's responsibilities; and
- the implementation of the Regulation and Inspection of Social Care (Wales) Act 2016

3.2 In terms of effectiveness and impact of our work the Committee will identify areas of Social Care Wales business for effectiveness reviews. The Committee will monitor how Social Care Wales learns from these reviews and how this contributes to improved performance.

4. Scope – the business areas of focus

4.1 The Regulation and Standards Committee has the following delegated responsibilities:

Strategy and Direction

- Provide a steer on strategies and policies specifically in relation to the registration of social workers, social care workers and related fitness to practise matters
- Provide a steer on statutory training and learning provision for the sector
- Consider evidence from the sector to influence workforce regulation policy in Wales
- Provide a steer on the implications of the results of regulatory activity for the social care sector
- Formally receive outcomes of regulatory panels, note trends and provide advice to the Board
- Formally receive reports on performance of the regulatory functions
- Formally receive evaluation reports on the effectiveness of statutory training and learning activities

Financial Stewardship

- Consider and provide a steer to the Board on Registration fees
- Monitor budget allocations and spend to deliver regulatory activities

Appointments and Authorities

Through the Registrar the Chair of the Regulation and Standards Committee is responsible for the appointment, appraisal and reappointment of the regulatory panel members.

Approve the Terms of Reference, to include delegation of authority, and membership of sub-committees relating to this committee, if necessary.

Strategies and Policies

Approve:

- Workforce Regulation activity and statistics (including Annual Report);
- Qualification requirements for registrants and accredited courses;
- Memoranda of Understanding and Data Sharing Protocols with relevant partners;
- Operational and technical workforce regulation policies;
- Reports for publication regarding intelligence and evidence from the Register on the social work, social care and early years and childcare workforce;
- Fitness to Practise related policies and risk assessment frameworks
- Guidance on Fitness to Practise hearings;
- Practice Guidance and any revisions to them;

- Sub-committee terms of reference, membership and minutes; and
- Regulatory requirements in relation to approved social work and social care training.

Consider and provide a steer to the Board on:

- Rules relating to Registration and Fitness to Practise;
- Codes of Practice and any revisions to them;
- Indicative Disposals Guidance and any revisions to it;
- Terms of reference for this committee
- Monitor performance activity relating to regulatory functions delegated by the Board

Miscellaneous

Undertake any other matters as requested to do so by the Board

5. Review of effectiveness

5.1 The Regulation and Standards Committee will periodically review its own effectiveness and report the results of that review to the Board.

6. Role and Responsibilities of the Chair and Deputy Chair

6.1 The role of the Chair of the Regulation and Standards Committee is an important element in achieving effectiveness. Good practice guidance and training will be provided.

6.2 The Chair of the Regulation and Standards Committee should:

- facilitate constructive debate to aid decision making
- ensure that minutes are produced for each meeting for information to the Board
- decide whether any additional reports or items should be prepared from the Regulation and Standards Committee to the Board and the Accounting Officer on specific issues
- meet any newly appointed members as soon as possible after their appointment to aid their induction
- meet as required with the Accounting Officer and Chair of the Board
- provide a written annual assurance report to the Board on the work programme delivered by the Committee

6.3 A deputy Chair will be appointed, in line with the standing orders, to deputise in the absence of the Chair of the Committee.

7 Role and Responsibilities of members

7.1 Members of the Regulation and Standards Committee are responsible for:

- bringing their experience and knowledge to monitor and review plans, reports and policies
- providing helpful ideas on how the plans, reports and policies will meet the aims of the organisation
- scrutinising the management information relating to the plans, reports and policies
- being open to ideas and work to reach compromises if required
- attending meetings regularly and contributing to work in support of the committee
- considering how the work of the committee can be promoted as part of their ambassadorial role

8. Appointment and Membership

8.1 The Chair and the members of the Committee shall be appointed by the Chair of the Board. The Chair of the Regulation and Standards Committee will be a member of the Board.

8.2 The Committee will include a minimum of six ~~four~~ members of the Board with specific and appropriate skills and experience.

8.3 The Board may co-opt up to two independent non-board members with relevant professional expertise on to the Committee, if required.

8.4 No member of the Regulation and Standards Committee may also be a member of staff, or have any executive authority for the management of Social Care Wales.

8.5 A quorum of four members will allow for the Committee to carry out its business. Co-opted members will not be counted as part of the quorum.

~~8.6 A member can sit for a maximum of two years on the Committee. This may be extended by the Chair of the Board depending on the composition of the Committee at the time.~~

8.7 The Chair of Social Care Wales is an ex-officio member of all Board Committees and should be regarded as additional to the specified membership.

8.8 The Chief Executive in their role as Accounting Officer and the Executive Directors will normally attend the meetings or ensure a relevant senior manager is present to assist the committee.

8.9 All members of the Committee will be made aware of the business to be discussed at any meeting, even if they are not able to attend.

9. Reporting and Review

9.1 The minutes of the meetings will be approved by the Chair of the Regulation and Standards Committee.

9.2 Approved minutes of the Regulation and Standards Committee will be made available on the members' portal.

9.3 The Committee will provide the Board with an Annual Report summarising its conclusions from the work it has done during the year.

9.4 The Chair of the Regulation and Standards Committee will have the right to bring to the Board's attention any matters of concern.

10. Meeting schedule and Support to Committee

10.1 The Regulation and Standards Committee will normally meet four times a year. The Chair may convene additional meetings as deemed necessary.

10.2 The Board may ask the Committee to convene further meetings to discuss particular issues on which it wants the Committee's advice.

Terms of reference agreed by the Committee on 11 March 2021

Quorum of 4 agreed by Board on 16 July 2020

Gofal Cymdeithasol Cymru
Social Care Wales

Remuneration Committee

Terms of Reference

1. Purpose and Remit

1.1 The Remuneration Committee's purpose is to scrutinise and provide advice, guidance and recommendations of remuneration for the Social Care Wales staff and matters relating to the terms and conditions of the Social Care Wales staff and the remuneration of Independent Panel members.

1.2 The Committee has been established as a committee of the Board to scrutinise and give support and advice on matters such as:

- Organisation strategies and policies on the recruitment, retention and management of staff
- staff pay, terms and conditions
- regulatory panel members' pay, terms and conditions
- the recruitment of the Chief Executive.

1.3 The Committee's aims are to ensure the organisation: adheres to its own policies and values regarding staff recruitment, management and well-being; adopts best practice as a Welsh Government Sponsored Body employer; and complies with relevant employment legislation.

1.4 The Committee has been given authority by the Board to make certain decisions, and the Terms of Reference explains what decisions the Committee can make. However, the Board is still responsible and accountable for all the decisions and actions taken in its name. This means that the Board has the right to change or overturn any decision or action of a committee (or sub-committee) which it feels goes against Social Care Wales policy or which goes against the Board's interests.

1.5 The Terms of Reference will be reviewed annually to make sure that they are up to date.

2. Powers and responsibilities of the Committee

2.1 The standing orders for Social Care Wales set out how Board and Committee meetings should be run, and the Well-being and Remuneration Committee will also follow those standing orders. It will also follow advice set out in Social

Care Wales's Model Governance Framework and Scheme of Delegation, and in *Managing Welsh Public Money*, which tells us how public bodies in Wales should use their money.

3. Responsibilities and Scope

3.1 The Committee has been authorised by the Board to:

- give advice to the Chair on matters relating to the review of pay and conditions of the Chief Executive and Directors, and consider the recommendations of the staff annual pay remit in line with Social Care Wales policy prior to submission to Welsh Government for approval
- give advice and provide a recommendation to the Board on any changes to Senior Management Pay (top 3 tiers) prior to submission to Welsh Government for approval
- receive assurances by officers that our policies on pay and terms of service are used consistently when we make decisions
- give advice to the Board on matters relating to the recruitment, retention, discipline and dismissal of the Chief Executive
- review and approve any amendments to the pay, terms and conditions of regulatory panel members
- review and consider all exit related arrangements, including those under the Voluntary Early Release Scheme
- receive a transparency report on any relevant appeals as set out in the Grievance, Disciplinary and Harassment policies and/or Complaints policy that requires involvement by members of the Committee
- Provide independent scrutiny for grievances that may involve the Chief Executive, as Investigating Officer
- take on any other activities if asked to do so by the Board.

3.2 So that it can provide assurance to the Board the Committee will receive and comment specifically on matters relating to the terms and conditions of staff to ensure they are in line with the agreed Welsh Government Governance Framework. These include, but are not limited to:

- strategies and policies relating to recruitment, retention and management of staff;
- policies relating to training, development, reward and recognition of staff;
- pay and conditions of service;
- Pay Remits;
- staff benefits and non-pay rewards;
- pensions;
- redundancy, severance and compensation

Authority

3.3 The Committee has been authorised by the Board to look into any activity within its terms of reference. To do this the Committee will have the right to inspect any relevant documents, through the Chief Executive of Social Care Wales and will keep staff information confidential. Most information provided by the Chief Executive will be anonymised unless there is a public interest to disclose personal information.

3.4 Where relevant, the Board also gives the Committee the authority to receive legal or other independent professional advice, via the Chief Executive, in line with the procurement policy.

4. Role and responsibilities of the Chair

4.1 The role of the Chair of the Remuneration Committee is important in making sure the Committee works well and we have provided guidance to help Chairs with this.

4.2 The Chair of the Committee will:

- facilitate constructive debate to aid decision making
- meet with the Accounting Officer (or their representative) to discuss and agree the business for the meeting
- ensure that minutes are produced for each meeting for information to the Board
- decide whether any additional reports or items should be prepared from the Committee to the Board and the Accounting Officer on specific issues
- bring to the Board's attention any significant matters that the Committee is discussing
- ensure that arrangements are in place to escalate any urgent or critical matters that might affect the operation and/or reputation of Social Care Wales
- meet any newly appointed members of the Committee as soon as practicable after their appointment to aid their induction
- meet as required with the Accounting Officer (Chief Executive) and the Chair of the Board
- report to the Board on the work of the Committee as and when required.

5. Individual roles and responsibility

5.1 Members of the Committee are responsible for:

- bringing their experience and knowledge to monitor and review plans, budgets and policies
- providing constructive ideas on how the plans, budgets and policies will meet the aims of the organisation
- carefully monitor management information relating to the plans, budgets and policies

- being open to ideas and work to reach compromises if required
- attending meetings regularly and contributing to work in support of the committee

6. Appointment and Membership

6.1 The Committee will be made up of at least four members of the Board of Social Care Wales which will include the Chair and Deputy Chair of the Board and the Chairs of the Audit and Risk, Improvement and Regulation and Standards Committee.

6.2 The members should be independent of Executive Management and free from any business or any relationship that could materially interfere with the exercise of their independent judgement.

6.3 The Chief Executive, Director of Finance, Strategy and Corporate Services (or their deputy) and HR and Wellbeing Manager, and Chair of the Staff Partnership Council will normally attend meetings. The Chair can ask officers to leave the meeting at any time if necessary, however a member of the Corporate Governance team will always remain in the meeting to capture any decisions made or actions for the minutes in the absence of officers.

6.4 The Board can also appoint to the Committee additional people with relevant professional expertise as necessary or to provide independence. Membership to the Committee will be agreed by the Chair of the Board.

6.5 A minimum of three members of the Committee must attend a meeting to allow the Committee to conduct its business.

6.6 The Chair of the Board will act as Chair of the Committee. A deputy chair will be appointed, in line with the standing orders, to deputise in the absence of the Chair of the Committee.

6.7 All members of the Committee will be made aware of the business to be discussed at any meeting, even if they are not able to attend.

7. Reporting and Review

7.1 The minutes of the meeting will be approved by the Chair of the Committee.

7.2 The approved minutes of the meeting will be issued to Board members following Committee meetings through the members' portal; at times there will be a redaction of information due to the sensitive nature of discussions or timings of decisions.

8. Meeting schedule and support to the Committee

8.1 The Committee will meet at least once in every year to consider, if relevant, the annual review of the remuneration of staff, including the Chief Executive and Directors and Regulatory Panel members.

8.2 The Committee can hold additional meetings to consider other matters within its Terms of Reference, if deemed necessary.

Terms of Reference agreed by the Board on 16 July 2020

Appendix 5

Board Standing Orders extract:

Attendance at Board meetings

2.26 In addition to the Board Members, meetings of the board will normally be attended by:

- the Executive Management Team
- Board Secretary
- Chair of the Staff Partnership Council
- Other members of staff for agenda items which they are presenting and available to answer questions
- Other members of staff to hear the debate where the Board's discussion will inform their work or as part of their professional development.

Gofal Cymdeithasol Cymru
Social Care Wales

CYFARFOD / MEETING	**Board Meeting**				
	PREIFAT / PRIVATE		**CYHOEDDUS / PUBLIC**		
	☐		☒		
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA AGENDA ITEM	**14**				
TEITL / TITLE SCW/22/17	**Senior Independent Member Proposal**				
AWDUR / AUTHOR	Mick Giannasi, Chair				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Llinos Bradbury, Board Secretary Sue Evans, Chief Executive				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 – IoD Factsheet Appendix 2 – National Resources Wales Role Description				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	Priority theme 4 - Be an Effective and Transparent Organisation				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	☐	☒	☐	☒	☐
ARGYMHELLIAD / RECOMMENDATION	Members are asked to **consider** whether they would wish to adopt a Senior Independent Member role within the Board.				
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	The resource implications are limited. If adopted, the Senior Independent Member (SIM) role would not attract additional remuneration. The costs associated with developing the role description would be minimal.				

Senior Independent Member proposal

1. Context

1.1 The purpose of the paper is to provide some background information about the role of the Senior Independent Member (SIM) to enable the Board to consider whether it would wish to adopt the role as part of the governance arrangements within Social Care Wales.

2. Background

2.1 At the Board meeting in April 2021, members discussed the results of the 2020-21 Board Effectiveness Survey. There was a consensus that the existing process, based as it is on members completing an anonymous survey, had probably run its course. On that basis, members agreed that the Chair's Co-ordinating Group (CCG) should explore an alternative methodology for the 2021-22 survey.

2.2 A discussion about this issue was scheduled for the July CCG meeting but subsequently deferred until November because the meeting went over time, and it was not urgent. When the matter was discussed in November, a number of wider questions and considerations emerged including what avenues existed for any member or members who had concerns about the leadership or conduct of the Board to raise those issues in a confidential setting where that was appropriate or necessary. It was noted that there was a 'whistleblowing policy' for Board members within the Board member handbook but it had not been reviewed recently.

2.3 It was recognised that the culture of the existing Board meant that such avenues were unlikely to be needed in the current environment. However, it is important that governance arrangements are not designed around the status quo; rather they should consider a range of potential scenarios and put in place arrangements which cater for circumstances which might foreseeably arise at a different time or in different circumstances or with a different group of people in situ.

2.4 Three actions emerged from that discussion: -

(i) to establish a task and finish group to explore alternative methodologies for conducing the 2021/22 board effectiveness survey;
(ii) to identify what other Welsh Government Sponsored Bodies (WGSB's) had in place in terms of 'whistleblowing' policies to see whether any of those might be relevant to the Board;
(iii) to assess whether there might be some value in introducing the role of Senior Independent Member (SIM).

2.5 Items (i) and (ii) have been addressed separately; this paper focuses specifically on item (iii) the option to introduce a SIM role into the Board's governance framework.

3. Assessment

3.1 Background research indicates that the role of Senior Independent Member is fairly common in commercial settings (where the role is more commonly referred to as a Senior Independent Director) but less so in public sector boards.

3.2 In 2003, the Higgs Review[1] recommended that all publicly listed companies should appoint a SID from within their independent non-executive membership. This principle has since been incorporated within the UK Corporate Governance Code (2018)[2] issued by the Financial Reporting Council.

3.3 SIDs serve as a sounding board for the Chair and act as an intermediary for other non-executive directors. They are responsible for holding annual meetings with non-executives, without the Chair present, to appraise the Chair's performance. They would also be expected to meet with the non-executives on other such occasions as necessary. The role is distinct from the role of the vice-chair.

3.4 When the board is operating under pressure, the SID's role becomes vitally important, and they are expected to work with the Chair, other directors and shareholders to resolve major issues. SID's also have a role in acting as an intermediary in the relationship with shareholders where normal channels of communication through the chair and/or chief executive have been exhausted.

3.5 The Institute of Directors has issued a factsheet which explains the role of the SID in more detail and a copy is attached at Appendix 1. It will be seen that this is written very much from a commercial perspective. However, it is also possible to see how the basic principles might be equally relevant in a public sector context.

3.6 Enquires have been made with other Welsh Government Sponsored Bodies and it has been identified that National Resources Wales (NRW) has developed a SID role which has now been in place for almost two years. The proposal which resulted in the appointment originated from the Chair who has extensive leadership experience in both the public and private sector organisations.

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[1] *https://web.archive.org/web/20080414205912/http://www.berr.gov.uk/bbf/corp-governance/higgs-tyson/page23342.html*

[2] *https://www.frc.org.uk/getattachment/88bd8c45-50ea-4841-95b0-d2f4f48069a2/2018-UK-Corporate-Governance-Code-FINAL.pdf='blank'*

3.7 The Chair and the Board Secretary met with the Board Secretary of NRW on 4 March to see what could be learned from their experience. They described the role as adding significant value since its adoption, with the postholder being able to bring a particular focus to the people aspects of the Board. It is understood that the Chair finds the role invaluable, particularly in terms of the contribution which the SIM makes to the Chair's annual PADR.

3.8 A copy of the SIM role description has been provided by NRW and is attached at Appendix 2. It will be seen that the role is broadly similar to that widely utilised in the private sector. However, it has been adjusted for use in a public sector setting.

3.9 The SIM role has clearly proven to be beneficial for NRW and there is no reason to believe that the same benefits would not be derived if Social Care Wales were to go down the same route. Hopefully, it would never be necessary for the role to be used in adversity. However, the developmental aspects of the role, particularly in contributing to the PADR process for the Chair and Vice-Chair would potentially add value and further strengthen the Board's existing corporate governance arrangements.

3.10 It is important to note that the position would be voluntary and would not attract any additional remuneration beyond the normal arrangements for Board members.

3.11 If there is support in principle for the concept, a Social Care Wales specific role description will be developed, and a process will be put in place to identify a suitable member to take on the role. That need not be a complex process. Given the nature of the role, it would make sense that the individual who takes it on would be a volunteer, selected by their fellow members.

4. Recommendations

4.1 Based on the information which is contained within this paper, members are to consider whether they would want to adopt a Senior Independent Member role within the Board.

FACTSHEETS

What is the role of the senior independent director?

15 Nov 2018

The Higgs review, published in 2003, recommended that boards of publicly listed companies should appoint a senior independent director (SID) from among their independent non-executives.

To qualify as 'independent', non-executives need to have the necessary independence of **character** and **judgement** as well as being free of any connections that may lead to a conflict of interest.

Higgs felt that the role of the SID was important in the **relationship** between major shareholders and the board, saying: "The senior independent director should be available to shareholders, if they have reason for concern that contact through the normal channels of Chair or chief executive has failed to resolve."The post […] is included in the Financial Reporting Council (FRC) **UK Corporate Governance Code (Jul 2018)**. As time has moved on, the role has become generally accepted.

SIDs serve as a **sounding board** for the Chair and act as an intermediary for other directors. They are responsible for holding annual meetings with non-executives, without the Chair present, to appraise the Chair's performance. They would also be expected to meet with the non-executives on other such occasions as necessary.

When the board is undergoing a period of stress, the SID's role becomes vitally important. They are expected to work with the Chair, other directors and shareholders to resolve major issues.

For example, they can act as an **alternative point of contact for investors** who may have made little headway in discussions with the Chair, chief executive or finance director – or who may have concerns about the performance of these individuals. Where the relationship between the Chair and chief executive is particularly close, and they do not communicate fully with shareholders, the SID is able to step in and provide a link.

Where there is a disagreement or dispute between the Chair and the chief executive, the SID can intervene, identifying issues that have caused the rift and trying to **mediate** and build a consensus.

In summary, the senior independent director's role would usually involve:

- working closely with the Chair, acting as a sounding board and providing support
- acting as an intermediary for other directors as and when necessary
- being available to shareholders and other non-executives to address any concerns or issues they feel have not been adequately dealt with through the usual channels of communication (i.e., through the Chair, the chief executive or finance director)
- meeting at least annually with the non-executives to review the Chair's performance and carrying out succession planning for the Chair's role
- attending sufficient meetings with major shareholders to obtain a balanced understanding of their issues and concerns

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Appendix 2

Cyfoeth Naturiol Cymru
Natural Resources Wales

Role of the Senior Independent Director (SID)

On 21 May 2020 the Chair of the Board proposed, and the Board subsequently approved, the creation of the new role of Senior Independent Director (SID) with the following duties:

a. working closely with the Chair and Deputy Chair, acting as a sounding board and providing support;
b. acting as an intermediary for other Board members as and when necessary;
c. being available to other Board members to address any concerns or issues they feel have not been adequately dealt with through the usual channels of communication (i.e. through the Chair, Deputy Chair or Chief Executive);
d. meeting at least annually with the other Board members to provide feedback on the Chair's performance and supporting the Welsh Government in succession planning for the Chair's role;
e. chairing the Board meetings in the exceptional event that both the Chair and Deputy Chair are indisposed.

CYFARFOD / MEETING	**Board meeting**				
	PREIFAT / PRIVATE			**CYHOEDDUS / PUBLIC**	
	☐			☒	
DYDDIAD / DATE	**28.04.22**				
EITEM AGENDA AGENDA ITEM	**15**				
TEITL / TITLE SCW/22/18	**Board Listening Exercise Feedback**				
AWDUR / AUTHOR	Mick Giannasi, Chair				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Llinos Bradbury, Board Secretary Sue Evans, Chief Executive				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Appendix 1 - 2021/22 Board Listening Exercise - Issues Raised by Staff				
GWEITHGAREDD CYNLLUN BUSNES / BUSINES PLAN ACTIVITY	Priority Four – Our Own Workforce				
GWEITHRED / ACTION REQUIRED	**CYMERADWYAETH / APPROVAL**	**DARPARU LLYW / PROVIDE A STEER**	**DARPARU SICRWYDD / PROVIDE ASSURANCE**	**TRAFODAETH / DISCUSSION**	**CRAFFU / SCRUTINISE**
	☐	☐	☐	☒	☐
ARGYMHELLIAD / RECOMMENDATION	Members are invited to: 1. **note** the contents of the report; 2. **consider** whether it would be appropriate to conduct a further Board Listening exercise to be towards the end of 2022/23.				
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	None required.				

Board Listening Exercise

1. Context

1.1 The purpose of this report is to provide members of the Board with a brief summary of the outcome of the recent 'Board Listening' exercise and to highlight a small number of developmental issues which were raised by staff for consideration by EMT.

2. Background

2.1 Members will recall that during the latter part of 2020/21, prompted by the outbreak of COVID and the subsequent rapid transition to remote working, the Chair and other members of the Board conducted a series of two-way conversations with staff as part of a 'Board Listening' exercise. The purpose of the initiative was to:

- maintain the visibility of the Board whilst the organisation was working remotely;
- gauge the impact of the prevailing situation on staff well-being and morale;
- share the positive feedback which had been received from Ministers and our sponsor in Welsh Government about the organisation's performance;
- thank staff for the flexibility and resilience which they had shown in enabling the organisation to sustain performance despite the ongoing challenges of COVID.

2.2 It would be fair to say that the exercise was well received by staff and provided the opportunity to 'take the temperature of the organisation' at a time when the organisation was operating under considerable stress. The exercise was also welcomed by the CEO and EMT who saw it as a valuable opportunity to re-enforce the Board's responsibility for ensuring a workplace environment which was conducive to the well-being of the workforce.

2.3 On that basis and because the organisation was still largely working remotely almost two years on from the original onset of COVID, with the agreement of the Board and the CEO, the exercise was repeated between for 2021/22 exercise. The following paragraphs provide a brief summary of the outcomes.

3. Analysis

3.1 Between November 2021 and January 2022, supported by other Board members (Abi Harris, Jo Kember, Trystan Pritchard, Damian Bridgeman, Donna Hutton, Maria Battle and Grace Quantock), the Chair attended on-line directorate team meetings and was allocated a one-hour slot at the beginning of the meeting. Given the size of the group, the Regulation Team was broken down into three smaller groups. The number of members of staff who took part was as follows: -

- Regulation Team – 56
- Improvement and Workforce Development – 25
- Corporate Services – 22

3.2 In addition, a separate meeting was held with a group of new starters (17 people who have joined the organisation since April 2021) although some of those may have also been present in one or more of the team-based sessions.

3.3 During the new starter session, staff who had recently joined the organisation received a PowerPoint presentation explaining the role and function of the Board and how it operates in order to discharge its responsibilities.

3.4 As a conservative estimate, that means that around 70% of the organisation (the current establishment is 154) participated in one or more of the sessions. This was slightly lower than the previous year when 80% participated. Nevertheless, that is a substantial proportion of the workforce and sufficient to consider the views which were expressed as representative of the views of the workforce as a whole.

3.5 It is also worth mentioning that the Board members who took part were a largely different group than those who took part in the 2020/21 exercise, meaning that the majority of members (11 out of 15) have now participated in one or both of the exercises which have been conducted. Feedback from members was again very positive and it was generally considered to be a worthwhile and fulfilling experience.

3.6 Sessions were divided into two parts; the first part was an opportunity for the Chair to address the teams and respond to specific questions. The second part was an informal two-way conversation between the Chair or one of the Board members present and a smaller group of staff (typically around 8-10 people).

3.7 The first part of the meeting provided the opportunity to: -

(i) provide staff with an understanding of how the organisation is currently performing and how it is viewed by Welsh Government and other stakeholders;
(ii) say thank you on behalf of the Board for everything that the team has done to deliver sustained performance despite the challenges of COVID;
(iii) answer any questions which staff may have had for the Board (in practice these were few and far between).

3.8 For the second part, the team was divided into two or three chat rooms in order to enable individual Board members to have an informal ‘two-way’ conversation with a smaller group of staff. This provided a semi-structured opportunity to ‘take the temperature’ of the organisation and in particular to: -

- get a sense of how people are feeling;
- get a sense of how they have been supported during COVID;
- understand what it has been like to work from home over an extended period;

- get a sense of what they would like to happen as we move to a ‘new normal’;
- ask what they’ve done that they’re proud of;
- ask what gets in the way of them doing their job to the best of their ability.

3.9 Members facilitating the conversation were asked to remind staff that they were not there to do the job of the CEO or the Executive Management Team (EMT) and to emphasise the importance of the Board understanding what the working environment is like for staff so that can be reflected in board level decision making.

3.10 This was an informal opportunity to engage with staff in a relaxed but professional atmosphere and for that reason, the exercise has not been formally evaluated. As such, the summary of the outcomes which follows should be viewed in that context.

3.11 Anecdotal feedback from the CEO and EMT suggests that as last time, this was a valuable exercise which was generally well received by staff. In particular, people were pleased that the Board had taken the time to personally thank them for their contribution and appeared genuinely interested in their welfare.

3.12 In terms of what can be gleaned about the ‘temperature of the organisation’, each of the group conversations was slightly different and a range of views and opinions were expressed. However, on balance, it would be fair to say that despite the challenges of the last two years and the fact that the situation has prevailed much longer than expected, the morale of the workforce remains remarkably high and that there is a healthy degree of confidence and satisfaction with Social Care Wales as an employer. In particular: -

- there is strong sense of commitment to the organisation and its objectives and a genuine sense of pride in what the organisation delivers;
- staff spoke positively about the leadership provided by the CEO and the EMT and the extent to which they have been visible and accessible during COVID;
- managers were generally described as supportive and accessible and had a genuine interest in the welfare of their staff;
- the flexible working practices which have been introduced in response to COVID were generally well received and the efforts which had been made to keep staff connected with each other (e.g. quizzes, walking groups, coffee mornings) have been very much appreciated;
- newcomers to the organisation commented that they had been made to feel welcome and supported despite many of them not having physically met their managers or colleagues;
- many new starters commented that they had joined the organisation based on recommendations from others about the workplace environment and culture;
- on-line training has been particularly well received and there is an appetite to continue that when the organisation returns to whatever ‘normal’ is going forward;

- people felt listened to by the organisation and felt that the issues which they raised were taken seriously with explanations being provided where issues could not be progressed or addressed immediately.

3.13 Taking all of the conversations on balance, staff morale and motivation appeared as high if not higher than when the exercise was completed a year earlier, although that is clearly a subjective judgement rather than a statement of fact. What is particularly reassuring is that there is a very strong correlation between what emerged from the informal conversations conducted by Board members and the quantitative analysis which emerged from the 2021/22 Staff Survey.

3.14 Despite the overwhelmingly positive nature of the conversations, it was clear that people's experiences of working from home during COVID-19 had been quite different and that was dependent to a large extent on their individual circumstances and the facilities which were available to them.

3.15 Some had quiet study areas with good IT connections and welcomed the freedom and flexibility which remote working offered. Others had limited space, often with children or other family members working from home and less than ideal conditions.

3.16 Some had found the experience uplifting; others had found it quite stressful, and most had missed human contact and informal interaction with colleagues which came from working in an office environment. Christmas was quoted as a difficult time and staff missed the atmosphere around the build up to the holiday period.

3.17 The ease with which people had been able to adapt to home working seemed also to be impacted by the nature of their job. Most appeared to have found the transition quite easy; others had found it more difficult. It was also clear that as time had progressed those who found it hard to work from home had continued to do so and those who had found it fulfilling had continued to benefit from that.

3.18 Those experiences had inevitably impacted on people's aspirations for a return to office working. Some were keen to return at the earliest opportunity, others were quite happy to continue working from home for as long as possible, not only for the personal benefits but also because they felt that they were able to be more effective, working remotely.

3.19 As with the previous exercise, the majority expressed a preference for some sort of 'blended approach' going forward which will enable some of the benefits of home working to be retained whilst regaining what has been lost in terms of human interaction and the benefits or a more structured environment. This appears to be consistent with the feedback from the more structured consultation which has been taking place alongside the development of the organisation's hybrid working policy.

3.20 Although the conversations were overwhelmingly positive, there were indications that the novelty of home working is staring to wear thin for some.

One group commented that in the early stages there had initially been a lot of ‘kindness’ and consideration but as time has gone on, the organisation has slipped into the back-to-back meeting format, with less consideration for people's needs to take a break, move around and have the space to think and engage in informal conversation.

3.21 There was also a concern that people were becoming ‘desensitised’ and were no longer picking up the unconscious signals from colleagues that were more readily picked up in a face-to-face situation.

3.22 The EMT has picked up similar issues through their own regular engagement with staff and the more structured consultation around the development of the hybrid working arrangements and those are being considered and reflected in the design of the revised working model going forward.

3.23 Not surprisingly, given that the organisation is now well into the second year of remote working, there were a wider range of developmental comments and opinions expressed than were expressed in 2020/21. This included: -

(i) minor concerns around people’s ‘readiness’ for work, enabled by the availability of remote technology, which tends to enable them to work longer hours spread over a longer period;
(ii) linked to the above, the lack of defined breaks between on-line meetings (one group suggested a formal ‘dinner hour’ where routine meetings would not take place as a matter of policy);
(iii) increases in workload, largely driven by the expansion of the register which has not been offset by increased capacity (this was a particular issue which came up in the regulation team sessions);
(iv) some staff said that they would like to be more ‘in touch’ with the social care workforce or those who received care and felt that COVID had reduced the opportunities to ‘get out on the ground’;
(v) some frustrations around ICT (e.g. difficulties in getting access to use systems, the time sometimes taken to address what to them seemed like minor issues, hardware which was not sufficiently powerful for the tasks they were expected to perform).

3.24 Without exception, all of these issues were raised in a constructive manner and those who raised them were keen to emphasise that they were opportunities to enhance an already positive working experience rather than complaints.

3.25 It is particularly re-assuring that staff felt sufficiently confident to raise issues with Board members and that should be seen as an indication of the strength of the organisational culture which currently exists.

3.26 A schedule of the issues which emerged is attached at Appendix 1. This has been shared with the EMT and some context been provided for members information.

3.27 On balance the conversations with staff indicated an organisation which is in good health with a committed and engaged workforce which is well lead and well managed and continues to cope remarkably well against the background of the COVID pandemic.

3.28 As one of the Board members commented following their focus group discussion. "… *without exception, the people on the call thought that Social Care Wales was a great organisation to work for …".*

4. Recommendations

4.1 The purpose of this report is to make members aware that the 2021/22 Board Listening exercise has now been completed and to provide a summary of the key themes and issues which emerged from it.

4.2 This is the second such exercise to be completed and the value of the Board engaging with staff in this way appears to be self-evident, particularly as remote working appears now to be an established part of our way of working.

4.3 Members are invited to: -

(i) note the contents of the report;
(ii) consider whether it would be appropriate for a further board listening exercise to be conducted towards the end 2022/23.

Appendix 1

2021/22 Board Listening Exercise - Issues Raised by Staff

Issue Raised	EMT Observations
Some frustrations were expressed about the time it sometimes took to resolve what appeared to staff to be minor ICT issues (e.g., accessing the CARREG system, changing permissions levels, resolving password problems). ICT staff were considered to be helpful and professional but lacked sufficient capacity to resolve issues in a timely manner.	We recognised in the 2020/21 budget review that our ICT team was insufficient to meet increased user needs or to provide the level of required resilience. we increased the size of the ICT team during 2021 from three to four. We have also experienced vacancies within the team for most of the year despite successful recruitment in the Summer of 2021. We are now recruiting again and have further increased the team size from four to five to support our digital strategy and improve further the resilience of the team, whilst seeking to develop career pathway within.
Members of the fitness to practice team thought that the laptops which were issued to them as standard did not have sufficient processing power for the use they put them to. This sometimes caused delays in accessing or downloading materials which were needed during hearings. There were also concerns about the number of times which the broadband signal was lost during remote meetings, which sometimes hindered the flow of meetings (it wasn't clear whether this was a hardware problem or an issue with the individual's broadband speed).	We have reviewed the ICT hardware requirements twice during the year with the team. Following the most recent review, a mix of MS Surfaces and laptops has been procured to provide to the team in order that comparative performance can be assessed. Our planned new VPN service is expected to improve bandwidth for video and data processing whilst on video conferencing. However, the quality of the broadband for users is not within the control of Social Care Wales.
A number of staff referred to the almost constant cycle of Zoom meeting often with limited or no break between them. One group described this as a potential health and safety issue and raised the prospect of a protected lunch break where all but essential external meeting were prohibited as a matter of organisational policy.	EMT have discussed this issue on many occasions during the past two years. We encourage all staff to take a meaningful lunch break and ask for internal meetings to consider their scheduling to avoid such issues. We expect all agendas to have specified break times and have purposefully incorporated such breaks into all meetings organised or led by EMT.

A number of groups, most in the fitness to practice and registration team environment, highlighted that workloads were rising incrementally as a result of the expansion of the register but that resources had not increased at the same pace. This meant that it was increasingly difficult to allocate time for issues like training and development or to participate in improvement work.	EMT have agreed a number of additional resources across the organisation, including in registration and fitness to practice. This expansion in regulation has been planned over a number of years, and we continue to review. A detailed review of registration processes and capacity is scheduled within next year's business plan.
Some staff said that they would like to be more 'in touch' with the social care workforce or those who received care and felt that COVID had reduced the opportunities to 'get out on the ground' to enable them to understand the impact of their work.	EMT accept this and anticipate more opportunities during 2022 if there are no further pandemic outbreaks or restrictions.