5.1 Tool: Questions on the current state of key leadership roles

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| Leadership numbers | | |
| What are considered to be the key leadership roles in the organisation? |  | |
| Name of role | How many are there? | |
| Whole time equivalent | Headcount |
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|  |  |  |
|  |  |  |
| What makes them key?  (Seniority/specialism/supply shortage/volume of demand) |  | |
| To what extent are there vacancies in key leadership roles? |  | |
| Which key leadership roles are particularly hard to fill when there are vacancies? |  | |
| How many leaders are typically required in those roles? Single or multiple? |  | |

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| Leadership diversity and demographics | | | | | | |
| What is the demographic profile of the key leadership roles? |  | | | | |
| How diverse in demographic terms are current leaders in key leadership roles (rate and explain)?  \*See NHS Workforce Race Equality Standard (WRES) guidance (https://www.england.nhs.uk/about/gov/equality-hub/equality-standard/) | Not at all | Little | Moderate | Very | Outstanding |
| 1 | 2 | 3 | 4 | 5 |
|  | | | | |
| To what extent do we have clinical leadership (rate and explain)? | Not at all | Little | Moderate | Very | Outstanding |
| 1 | 2 | 3 | 4 | 5 |
|  | | | | |
| To what extent are our key leadership roles filled through internal promotion versus external hires? |  | | | | |

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| Leadership knowledge, skills and abilities | |
| What are the knowledge, skills and abilities in most supply and/or exercised effectively across key leadership roles? |  |
| What are the knowledge, skills and abilities in least supply and/or exercised least effectively across key leadership roles? |  |
| Which knowledge, skills and abilities are most important for your organisation in key leadership roles? |  |

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| Optional: collective leadership behaviours | | | | | | |
| This is included as an option as the pilot trusts found the exercise useful. The survey will give you data about collective leadership behaviours. This section provides an opportunity to discuss which behaviours are perceived to be strengths and which need improvement, given that all the behaviours are all equally important. | | | | | | |
| What are the behaviours in most/least supply and/or exercised effectively (tick and explain)? | Collective leadership behaviour | Most | Least | | |
| 1. Facilitating shared agreement about direction, priorities and objectives |  | |  | | |
| 1. Encouraging pride, positivity and identity   in the team/organisation |  | |  | | |
| 1. Ensuring effective performance |  | |  | | |
| 1. Ensuring necessary resources are available and well-used |  | |  | | |
| 1. Modelling support and compassion |  | |  | | |
| 1. Valuing diversity and fairness |  | |  | | |
| 1. Enabling learning and innovation |  | |  | | |
| 1. Helping people to grow and lead |  | |  | | |
| 1. Building cohesive and effective team working |  | |  | | |
| 1. Building partnerships between teams,   departments and organisations |  | |  | | |
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| Optional: cultural elements | | | | | |
| The culture focus groups, board interviews and culture and outcomes dashboard will give you data about the cultural elements. This section provides an additional opportunity to discuss the cultural elements. | | | | | |
| To what extent is there leadership commitment in the different parts of the organisation to: | Not at all | Little | Moderate | Very | Outstanding |
| 1 | 2 | 3 | 4 | 5 |
| * ensuring an unwavering focus on quality of care |  | | | | |
| * effective, efficient, high quality performance |  | | | | |
| * support, compassion and inclusion |  | | | | |
| * continuous learning, quality improvement and innovation |  | | | | |
| * enthusiastic  co-operation, team working and support within and across organisations? |  | | | | |

5.2 Tool: Questions on the future state of key leadership roles

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| Leadership numbers | |
| What new leadership roles are likely to emerge as a result of the strategic drivers and business strategy (internal and external influences)? |  |
| How many leaders will be needed over the next 5 to 10 years to fill key leadership roles and roles that are hard to fill (based on growth/ integration/strategy/turnover)? |  |
| At what levels of the organisation will these roles be required? |  |
| **Leadership diversity and demographics** | |
| What should be the demographic profile of key leadership roles and why? |  |
| What backgrounds should they have (managerial/clinical/ professional) and why? |  |
| **Leadership knowledge, skills and abilities** | |
| Consider the business strategy. What knowledge, skills and abilities are we most likely to need in future? |  |

5.3 Tool: Identifying the gaps in key leadership roles

*This section will assist you in summarising the gaps between the current and future workforce and starting to consider the implications for development of the collective leadership strategy.*

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| Workforce capacity area (key leadership roles) | Analysis | Implication of gap for collective leadership strategy | |
| Numbers of key leadership roles by level  (where are the greatest gaps in terms of our key leadership roles and the numbers we are looking to develop) |  | |  |
| Diversity and demographics of key leadership roles  (what demographics do we need to be aware of in terms of age, gender, race, education, experience, targeted diversity and internal/external hires) |  | |  |
| Knowledge, skills and abilities of key leadership roles  (what are the competencies required by strategy and strategic drivers for example, innovation, operational efficiency, risk avoidance) |  | |  |

5.4 Tool: Questions on organisational design and workforce

*This section encourages you to consider the wider context of your organisation and its changing environment. While there may be uncertainty, we would urge you to build in some planning assumptions.*

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| Organisational design | |
| What is your current organisational structure? |  |
| Where are leaders located within your organisational structure currently, including geographically or functionally? |  |
| Where do we need our future leaders to be located? |  |
| What are the strengths and weaknesses of your organisational structure? |  |
| What are your key organisational processes (eg quality assurance, communications, annual planning) |  |
| How do your organisational processes enable or hinder the practice of collective leadership behaviours in your trust? Do they facilitate any specific styles of leadership? |  |
| How aligned are your organisational structure and processes? Do they work against or help each other? |  |

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| Workforce summary | |
| In summary, what are your staff numbers and composition? |  |
| What are the strengths and weaknesses in this respect? |  |
| In summary, what is the diversity of your workforce? |  |
| What are the strengths and weaknesses in this respect? |  |
| In summary, what do you know about the key knowledge, skills and abilities required by your workforce? |  |
| What are the strengths and weaknesses in this respect? |  |

5.5 Tool: Policies and procedures

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| Recruiting and selecting | | | | | | | | | | |
| How do we currently recruit and select people to key leadership roles? | |  | | | | | | | | |
| How well developed are our strategies and processes for recruitment and selection of key leadership roles (rate and explain)? | | Not at all | | A little | | Moderately | | Very | | Outstanding |
| 1 | | 2 | | 3 | | 4 | | 5 |
|  | | | | | | | | |
| How effective are our strategies and processes for recruitment and selection of key leadership roles (rate and explain)? | | Not at all | | A little | | Moderately | | Very | | Outstanding |
| 1 | | 2 | | 3 | | 4 | | 5 |
|  | | | | | | | | |
| Is our employee value proposition attractive enough to bring in people from other business units or outside the organisation (rate and explain)? | | Not at all | | A little | | Moderately | | Very | | Outstanding |
| 1 | | 2 | | 3 | | 4 | | 5 |
|  | | | | | | | | |
| How do we currently recruit and select to all other roles? | |  | | | | | | | | |
| How effectively do we currently recruit and select to all other roles (rate and explain)? | | Not at all | | A little | | Moderately | | Very | | Outstanding |
| 1 | | 2 | | 3 | | 4 | | 5 |
|  | |  | | | | | | | | |
| Do our processes ensure diversity and the value of difference (rate and explain)?  \* See WRES guidance | Not at all | | A little | | Moderately | | Very | | Outstanding | |
| 1 | | 2 | | 3 | | 4 | | 5 | |
|  | | | | | | | | | |
| What are the strengths and weaknesses of these approaches for recruitment and selection? |  | | | | | | | | | |

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| Bringing on board, inducting and socialising  *(Learning about the organisation)* | | | | | | | | |
| How do we currently bring individuals in key leadership roles on board, induct and socialise them? |  | | | | | | | |
| How effectively do we currently bring on board, induct and socialise individuals in key leadership roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How do we currently bring other staff/roles on board, induct and socialise them? |  | | | | | | | |
| How effectively do we currently on board, induct and socialise all other roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| Do our processes ensure diversity and the value of difference (rate and explain)? | Not at all | | A little | Moderately | | Very | Outstanding | |
| 1 | | 2 | 3 | | 4 | 5 | |
|  | | | | | | | |
| What are the strengths and weaknesses of these approaches (onboarding, inducting and socialising)? |  | | | | | | | |

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| Succession planning | | | | | | | | | |
| How does succession planning takes place for the key leadership? Have you identified individuals for your leadership pipeline? Do we have successors for key leadership roles? |  | | | | | | | |
| How well developed is this succession planning (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How effective is this succession planning (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How do we currently apply succession planning for other roles in your organisation? |  | | | | | | | |
| How effectively is it applied across the organisation for other roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| Do our processes ensure diversity and the value of difference (rate and explain)?  \* See WRES guidance | Not at all | | A little | Moderately | | Very | Outstanding | |
| 1 | | 2 | 3 | | 4 | 5 | |
|  | | | | | | | |
| What are the strengths and weaknesses of the existing approach to succession planning? |  | | | | | | | |

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| Performance management | | | | | | | | |
| How do we manage performance for key leadership roles? |  | | | | | | | |
| How effectively do we manage performance for key leadership roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How do we manage performance for all other roles? |  | | | | | | | |
| How effectively do we manage performance for all other roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| To what extent do we currently ensure a high quality consistent approach to performance appraisal across all staff – both key roles and all other staff? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| Do our processes ensure diversity and the value of difference (rate and explain)?  \* See WRES guidance | Not at all | | A little | Moderately | | Very | Outstanding | |
| 1 | | 2 | 3 | | 4 | 5 | |
|  | | | | | | | |
| What are the strengths and weaknesses of these approaches? |  | | | | | | | |

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| Leadership development | | | | | | | | |
| What do we currently do to support development of people in key leadership roles? |  | | | | | | | |
| How effectively do we do leadership development for key leadership roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| Do we have career structures in place to attract and retain people in key leadership roles? (rate and explain) | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How effectively do we currently offer career management guidance to people in key leadership roles (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How do we currently develop all other staff in terms of their leadership behaviours and ability? |  | | | | | | | |
| How effectively do we do leadership development for all other staff (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| How effectively do we offer career management guidance to all other staff? (rate and explain)? | Not at all | A little | | | Moderately | Very | | Outstanding |
| 1 | 2 | | | 3 | 4 | | 5 |
|  | | | | | | | |
| Do our processes ensure diversity and the value of difference (rate and explain)?  \* See WRES guidance | Not at all | | A little | Moderately | | Very | Outstanding | |
| 1 | | 2 | 3 | | 4 | 5 | |
|  | | | | | | | |
| What are the strengths and weaknesses of these approaches? |  | | | | | | | |