

**To: Deputy Leader and Members of the Resources Board
(Councillors Moore, Morson, N Dirveiks, Ferro,
Forwood, Fowler, Hayfield, Johnston, Lea, Payne,
Smith, M Stanley, Y Stanley, Watkins and Winter
For the information of other Members of the Council**

**For general enquiries please contact Emma
Humphreys/Amanda Tonks on 01827 719221 or
via email – emmahumphreys@northwarks.gov.uk
or amandatonks@northwarks.gov.uk.**

**For enquiries about specific reports please
contact the Officer named in the reports.**

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RESOURCES BOARD AGENDA

6 JUNE 2011

The Resources Board will meet in the Chamber at The Council House, South Street, Atherstone, Warwickshire on Monday, 6 June 2011 at 6.30 pm.

AGENDA

- 1 Evacuation Procedure.**
- 2 Apologies for Absence / Members away on official Council business.**
- 3 Declarations of Personal or Prejudicial Interests.**
(Any personal interests arising from the membership of Warwickshire County Council of Councillors Fowler, Hayfield and Lea, and membership of various Parish Councils of Councillors Moore (Baddesley), Morson and Winter (Dordon) and M Stanley and Y Stanley (Polesworth) are deemed to be declared at this meeting).

- 4 **Request for discussion of En Bloc items.**
- 5 **Minutes of the Resources Board held on 28 March 2011** (copy herewith) to be approved and signed by the Chairman.

PART A – ITEMS FOR DISCUSSION AND DECISION (WHITE PAPERS)

- 6 **Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April 2010 - March 2011** – Report of the Chief Executive and Deputy Chief Executive

Summary

This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April 2010 to March 2011.

The Contact Officer for this report is Robert Beggs (719238)

- 7 **New Human Resource Policies** – Report of the Assistant Director (Finance and Human Resources)

Summary

This report advises members of the background to the new policies on retirement, secondment and health and wellbeing and recommends the adoption of the policies for the Council. The policies have been consulted on with senior managers and the trade unions.

The Contact Officer for this report is Janis McCulloch (719236).

- 8 **Treasury Management Revised Annual Investment Strategy** – Report of the Deputy Chief Executive

Summary

This report shows a revised Annual Investment Strategy for 2011/12.

The Contact Officer for this report is Jackie Marshall (719379)

- 9 **Internal Audit – Performance for 2010/11** – Report of the Deputy Chief Executive

Summary

The report allows the Board to monitor the progress of the Council's Internal Audit function against the agreed plan of work for the year.

The Contact Officer for this report is Barbara Haswell (719416)

**PART B – ITEMS FOR EN BLOC DECISIONS
(YELLOW PAPERS)**

- 10 **Members' Allowances Out-turn for 2010/11** – Report of the Assistant Director (Finance and Human Resources)

Summary

The purpose of this report is to advise Members of the allowances paid for 2010/11. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

The Contact Officer for this report is Jackie Marshall (719379).

- 11 **Collection Progress for Sundry Debts 2010/11 and Prompt Payment of Creditor Invoices, LPI 8** – Report of the Assistant Director (Finance and Human Resources)

Summary

The purpose of this report is to advise Members of the collection progress for Sundry Debts in 2010/11 and to highlight the performance of LPI 8, Prompt Payment of Creditor Invoices.

The Contact Officer for this report is Jackie Marshall (719379)

- 12 **Review of Existing Human Resource Policies** – Report of the Assistant Director (Finance and Human Resources)

Summary

This report reviews and updates a number of existing policies. The policies have been consulted on with senior managers and the trade unions.

The Contact Officer for this report is Janis McCulloch (719236).

JERRY HUTCHINSON
Chief Executive

NORTH WARWICKSHIRE BOROUGH COUNCIL

MINUTES OF THE RESOURCES BOARD

28 March 2011

Present: Councillor Smith in the Chair

Councillors Bowden, Butcher, N Dirveiks, Fowler, Fox, Johnston, Moore, Payne, Y Stanley and Winter.

Apologies for absence were received from Councillors Lea and Smitten.

Councillor Phillips was also in attendance.

104 **Declarations of Personal or Prejudicial Interests**

Any personal interests arising from the membership of Warwickshire County Council of Councillors Fowler and Fox, and membership of various Parish Councils of Councillors Butcher and Y Stanley (Polesworth), Fox (Shustoke) and Moore (Baddesley Ensor) were deemed to be declared at the meeting.

105 **Minutes**

The minutes of the meeting of the Board held on 1 February 2011, copies having previously been circulated, were approved as a correct record and signed by the Chairman.

106 **Housing Self Financing**

The Deputy Chief Executive informed Members of the proposals for the reform of council housing finance issued by the Communities and Local Government (CLG) and highlighted changes from the original proposals and implications for the Council.

Resolved:

- a That the proposals be noted;**
- b That the CLG be informed of any potential demolitions;
and**
- c That representations be made to CIPFA and CLG about
the potential impact on the General Fund.**

107 Potential Change of Refuse Collection Service Depot

The Assistant Director (Streetscape) sought the Board's agreement, in principle, to relocate the Refuse Collection and Garden Waste Collection services to the Lower House Farm Household Waste Recycling Centre and Transfer Station when the facility opened in 2013.

Resolved:

- a That the Board agree, in principle, to the future relocation of the Refuse Collection and Garden Waste Collection Services to Lower House Farm, Lower House Lane, Baddesley Ensor; and**
- b That a further report be brought back to the Resources Board following completion of Warwickshire County Council's tender process.**

108 ICT Strategy Action Plan for 2011/2012

The Assistant Director (Corporate Services) presented the ICT Strategy Action Plan for 2011/2012 which supported the delivery of the Information and Communications Technology (ICT) Strategy 2009-2012.

Resolved:

That the ICT Strategy Action Plan for 2011/2012 provided as Appendix A to the report of the Assistant Director (Corporate Services) be approved.

109 Procurement and Commissioning Strategy Action Plan 2011-2012

The Assistant Director (Corporate Services) presented the Procurement and Commissioning Strategy Action Plan 2011-2012 to Members for their approval.

Resolved:

That the Procurement and Commissioning Strategy Action Plan 2011-2012, provided as Appendix A to the report of the Assistant Director (Corporate Services), be approved.

110 Internal Audit – Plan of Work for 2011 - 2012

The Deputy Chief Executive explained the basis upon which the Audit Plan for 2011/12 had been developed, using a variety of sources of information to ensure that all appropriate aspects of service activity were embraced as part of the approved three-year review programme.

Resolved:

That the Audit Plan for 2011 – 2012 be approved.

111 Revised Service Standards for Housing Management and Maintenance

The Assistant Director (Housing) presented the revised service standards for the Council's landlord service to the Board for consideration.

Resolved:

That the report be noted.

112 Procurement Performance Indicators 2010/11

The Assistant Director (Corporate Services) updated Members on the performance indicators being used by the Council's Corporate Procurement function.

Resolved:

That the report be noted.

113 Tenant Services Authority – Statutory Consultation on Use of Powers

The Assistant Director (Housing) set out the proposals of the Tenant Services Authority on how they would use four specific enforcement powers in their recent consultation paper.

Resolved:

That the proposals set out in the consultation paper and the proposed response at Section 4.9 of the report of the Assistant Director (Housing) be noted.

114 Exclusion of the Public and Press

Resolved:

That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.

115 Facilities Management Section

The Assistant Director (Streetscape) suggested changes to the structure of the Facilities Management Section following the retirement of the Assistant Facilities Manager at the end of March 2011.

Resolved:

- a That the Assistant Facilities Manager post be deleted from the establishment upon the retirement of the current post holder;
- b That the Facilities Management Officer will become responsible for the duties currently carried out by the Assistant Facilities Manager and the post re-evaluated;
- c That the Premises Officer post be split into two posts. The current post holder be flexibly retired into one post and the other post advertised; and
- d That a potential saving of at least £25,290, achieved from the proposed restructure be agreed.

116 Irrecoverable Housing and Local Taxation Debts

The Assistant Chief Executive (Community Services) detailed the amounts recommended for write-off, in accordance with the write-off policy agreed by the former Finance Sub-Committee in September 2000.

Resolved:

- a That the write-off of 1 balances over £1,250 totalling £1,453.26 in respect of unpaid Council Tax be approved;
- b That the write-off of 10 balances over £1,250 totalling £79,935.23 in respect of unpaid Non Domestic Rates be approved;
- c That the write-off of 4 balances over £1,250 totalling £7,788.05 in respect of unpaid Housing Rent be approved;
- d That the write-off under delegated powers of 11 balances under £1,250 totalling £3,359.78 in respect of unpaid Council Tax be noted;
- e That the write-off under delegated powers of 6 balances under £1,250 totalling £1,719.27 in respect of unpaid Non Domestic Rates be noted;

- f That the write-off under delegated powers of 20 balances under £1,250 totalling £5,613.55 in respect of unpaid Housing Rent be noted;**
- g That the write-back under delegated powers of 6 balances totalling £2,780.41 in respect of Council Tax be noted; and**
- h That the write back under delegated powers of 1 balance totalling £1,441.62 in respect of Non Domestic rates be noted.**

117 Funding for Affordable Housing – 2011-2015

The Assistant Director (Housing) provided the Board with information about the launch of the Government's new Affordable Homes Programme Framework and set out the implications for North Warwickshire.

Resolved:

- a That the Council participate in the Affordable Homes Programme 2011-2015;**
- b That the Housing Division continue discussions with the Council's preferred partners Waterloo Housing Group, Jephson Housing Association and Warwickshire Rural Housing Association in order to participate in the programme; and**
- c That the Council continue the practice of selling land to private social provider partners to develop affordable housing at less than market value as appropriate.**

118 Housing Register Officer Post

The Assistant Director (Housing) requested the Board make the post of Housing Register Officer permanent following a review of the demands on the Council's housing options and allocations service.

Resolved:

That the post of Housing Register Officer be made permanent and a growth bid for the ongoing costs agreed.

119 Recycling Officer – Temporary Post

The Assistant Director (Streetscape) sought the Board's agreement to establish a temporary post of Recycling Officer.

Resolved:

That the proposal to establish a temporary post of Recycling Officer for the financial year April 2011 to March 2012 be agreed.

120 Request to Use Rowland Court Communal Room as a Pharmacy

The Assistant Director (Housing) asked the Board to consider a request from the General Practitioner Surgery at New Arley to transfer their pharmacy to Rowland Court Communal Room when the new medical centre at Rectory Road was in place.

Resolved:

That, subject to planning permission being granted, the proposal to use part of Rowland Court Communal Room as a pharmacy be agreed.

L Smith
Chairman

Agenda Item No 6

Resources Board

6 June 2011

Report of the Chief Executive and the Deputy Chief Executive

Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April 2010 - March 2011

1 Summary

- 1.1 This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April 2010 to March 2011.

Recommendation to the Board

That Members consider the performance achieved and highlight any areas for further investigation.

2 Consultation

2.1 Portfolio Holder, Shadow Portfolio Holder and Ward Members

- 2.1.1 The Portfolio Holder and Shadow Portfolio Holder for Resources, Councillors Forwood and Lea have been sent a copy of this report and any comments received will be reported to the Board.

3 Background

- 3.1 This report shows the end of year position with the achievement of the Corporate Plan and Performance Indicator targets for 2010/11. The report updates the progress achieved shown in quarterly reports to each Board during 2010/11.

4 Progress achieved during 2010/11

- 4.1 Attached at Appendices A and B are reports outlining the progress achieved for all the Corporate Plan targets and the performance with the national and local performance indicators during April to March 2010/11 for the Resources Board.

- 4.2 Members will recall the use of a traffic light indicator for the monitoring of the performance achieved.

Red – target not achieved

Green – target achieved.

5 Performance Indicators

- 5.1 The figures for the national and local performance indicators are subject to review by internal and external audit and should be considered as draft figures at this stage.

6 Overall Performance

- 6.1 The Corporate Plan performance report shows that 93% of the Corporate Plan targets and 76% of the performance indicator targets have been achieved. The report shows that individual targets that have been classified as red or green. Individual comments from the relevant division have been included where appropriate. The table below shows the following status in terms of the traffic light indicator status:

Corporate Plan

| Status | Quarter 4 Number | Percentage |
|--------|------------------|------------|
| Green | 25 | 93% |
| Red | 2 | 7% |
| Total | 27 | 100% |

Performance Indicators

| Status | Quarter 4 Number | Percentage |
|--------|------------------|------------|
| Green | 32 | 76% |
| Red | 10 | 24% |
| Total | 42 | 100% |

7 Summary

- 7.1 Members may wish to identify any areas that require further consideration where targets have not been achieved.

8 Report Implications

8.1 Safer Communities Implications

- 8.1.1 There are community safety performance indicators which are reported to Executive Board.

8.2 Legal and Human Rights Implications

- 8.2.1 The national indicators were specified by the Secretary of State for Communities and Local Government. They have now been ended and have been replaced by a single list of data returns to central government from April 2011.

8.3 Environment and Sustainability Implications

8.3.1 Improvements in the performance and quality of services will contribute to improving the quality of life within the community. There are a number of actions and indicators which contribute towards the priorities of the sustainable community strategy including customer access strategy, outreach services, financial inclusion, health and well being services and decent and affordable housing.

8.4 Risk Management Implications

8.4.1 Effective performance monitoring will enable the Council to minimise associated risks with the failure to achieve targets and deliver services at the required performance level.

8.5 Equalities

8.5.1 There are a number of equality related actions and indicators highlighted in the report including developing outreach services, financial inclusion, decent and affordable housing, adaptations for people with disabilities and fuel poverty.

8.6 Links to Council's Priorities

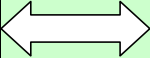
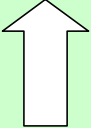
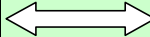
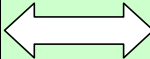
8.6.1 There are a number of targets and performance indicators contributing towards the priorities of access to services, improving housing in the borough, tackling health inequalities, achieving a balanced budget and developing our workforce.

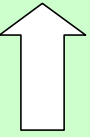
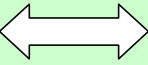
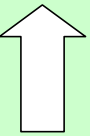
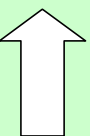
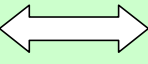
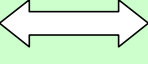
The Contact Officer for this report is Robert Beggs (719238).

Background Papers

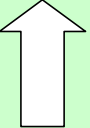
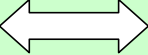
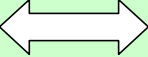
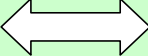

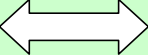
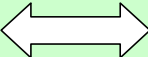
Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|--|---|----------------------------|---------------|
| National Indicators for Local Authorities and Local Authority Partnerships | Department for Communities and Local Government | Statutory Guidance | February 2008 |

| Ref | Start Date | Action | Board | Lead Officer | Reporting Officer | Theme | Sub-Theme | Update | Traffic Light | Direction |
|-----|------------|---|-----------------|--------------|-------------------|----------------|-----------|--|---------------|---|
| 1 | Apr-10 | Reviewing and adopting an updated Customer Access Strategy and Action Plan, which will focus on development of outreach services to complement those delivered from the One Stop Shop in Atherstone, promoting of self service channels and corporate wide promotional activities where they are supported by a business case | Resources Board | ACE (CS) | Bob Trahern | Community Life | | Not now due to be completed until November 2011 based on a decision to align our work with a wider Countywide Warwickshire strategy and feed in key findings from work to be undertaken on the access theme of the LSP all due to report by the Autumn 2011. Our existing strategy is currently still being delivered against and work on developing new initiatives continues in spite of the actual writing of the strategy being deferred. | Green |  |
| 2 | Apr-10 | Implementing one stop shop services in up to two libraries in the borough by March 2011 under the Warwickshire Direct and BOB brand | Resources Board | ACE (CS) | Bob Trahern | Community Life | | Discussions with County council and other partners continue after the busienss case to co locate in libraries using customer service staff could not be made. Discussions have been further delayed due to the decision to review this agenda as part of wider NW Community Partnership work which has concluded that the idea of community hubs should be developed and supported within the borough. A budget was agreed at Full Council in March 2011 to develop 2 pilot hubs in 2011 under a more flexible arrangement than was originally envisaged for one stop shops. Proposals around the BOB bus were also taken to C&E Board in January 2011 which agreed to extend that service for a further year until March 2012 | Green |  |
| 3 | Apr-10 | Improving the Council's website by the implementation of interactive self serve forms and acting on customer feedback received via the Gov Metric product by December 2010 | Resources Board | ACE (CS) | Bob Trahern | Community Life | | Achieved | Green |  |
| 4 | Apr-10 | Working with partners to identify projects and submit bids for access to services or transport projects, LEADER and other funding opportunities to support their potential implementation, including a bid with community groups and parish councils for PCs or Laptops in village halls, housing common rooms via hubs or at regular surgeries | Resources Board | ACE (CS) | Bob Trahern | Community Life | | Concerns over the release of LEADER funding has meant that no applications to fund schemes could be pursued during 2011.12. However, the announcement in March 2011 that a reduced level of funding will be available against which community groups can bid means that the work that has been undertaken with colleagues from Warwickshire CAVA and the Volunteer centre to identify other funding sources with a view to putting together bids for developing potential community projects can now be developed with interested parties and submitted by the autumn of 2011 | Green |  |

| Ref | Start Date | Action | Board | Lead Officer | Reporting Officer | Theme | Sub-Theme | Update | Traffic Light | Direction |
|-----|------------|---|-----------------|---------------------|-------------------|----------------|-----------|---|---------------|---|
| 5 | Apr-10 | Delivering a project with a health and well-being provider to take health and wellbeing services out into the community if a bid to the Department of Works and Pensions made in January 2010 is successful. This will also produce Health and Well-being outcomes | Resources Board | ACE (CS)/ AD (L&CD) | Bob Trahern | Community Life | | This project started in June 2010 with a launch event for participating staff who were drawn from across the organisation to take part in a structured programme of health and well being support. The programme delivered with a private sector partner and also supporting CAB workers and staff from a local residential home has provided positive support and benefits to selected staff with a view to reducing their sickness levels and improve their understanding and coping strategies around their well being. Funding for this Government sponsored pilot ended in March 2011. | Green |  |
| 6 | Apr-10 | Progress to be determined by the outcome of the shared contact centre business case to be reviewed in April 2010 | Resources Board | ACE (CS) | Bob Trahern | Community Life | | A decision not to proceed with the shared contact centre with other Warwickshire Direct partners was made in late 2010 based on the lack of a business case being made and our wider outreach delivery strategy is now being considered as part of the wider access review discussions as covered above. | Green |  |
| 13 | Apr-10 | Subject to funding being available, continue to promote the Credit Union and CAB activity by providing an outlet facility and signposting customers via the One Stop Shop and Contact Centre. Funding a further CAB Debt Advisor | Resources Board | ACE (CS) | Bob Trahern | Community Life | | Ongoing funding provided via the Council, B.O.B project and County Council area forum has enabled activity to continue up to 31 March 2011. Key elements of this activity will continue to be funded during 2011/12 as explained above. | Green |  |
| 14 | Apr-10 | Seeking funding to continue the BOB project either from LEADER or other funding streams post March 2011 | Resources Board | ACE (CS) | Bob Trahern | Community Life | | Ringfenced DWP funding has been used to continue to operate the BOB service until March 2012 albeit at a reduced level whilst we explore other possible funding streams via the wider access work being undertaken as part of the NW Community Partnership work. | Green |  |
| 15 | Apr-10 | Continuing to work with neighbouring and welfare agencies to continue to promote take up of Council Tax, Housing and other welfare benefits work in a collaborative way in accordance with the actions in the Warwickshire Benefits Take-up Strategy and action plan 2010 | Resources Board | ACE (CS) | Bob Trahern | Community Life | | 2010/11 albeit at a reduced level as a result of the decision to cut the LPS2 reward money which we were originally successful in bidding for by nearly half. This means that only one f.t.e has been supporting take up activity across the 5 district councils in the area of benefits maximisation. This will continue up to 30 September 2012. | Green |  |
| 16 | Apr-10 | Adopting a local Financial Inclusion Partnership for the Council which will ultimately feed into a County-wide financial inclusion partnership which will co-ordinate future financial inclusion activity with existing and new partners by December | Resources Board | ACE (CS) | Bob Trahern | Community Life | | The FIP has now met on 5 occasions during 2010 and actions agreed that will see it deliver targeted support around the borough in 2011 and onwards. | Green |  |












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|-----|------------|--|-----------------|--------------|-------------------|-----------------------|-----------|--|---------------|-----------|
| 17 | Apr-10 | Meeting the Decent Homes Standard in the Council's own stock by December 2010 | Resources Board | DCE / AD (H) | Angela Coates | Housing | | We have completed works to meet the decent homes standard . Work is now underway to refresh our stock condition information to plan future work. | Green | ↑ |
| 18 | Apr-10 | Completing Phase 1 by refurbishing and transferring the properties to Waterloo Housing Association by December 2010. Starting on Phase 2 with a view to completing the work by May 2011 | Resources Board | DCE / AD (H) | Angela Coates | Housing | | The regeneration scheme was completed ahead of time - by March 2011. | Green | ↑ |
| 19 | Apr-10 | To report further to the Housing Portfolio Holder Group and Resources Board by June 2010 on current schemes and make recommendations for such a scheme in North Warwickshire | Resources Board | DCE / AD (H) | Angela Coates | Housing | | This validity of introducing this scheme has been kept under review and will be considered again in September 2011. | Green | ↔ |
| 20 | Apr-10 | Completing new developments in Dordon and Ansley by April 2010 | Resources Board | DCE / AD (H) | Angela Coates | Housing | | Both of the schemes were completed by April 2010. | Green | ↑ |
| 21 | Apr-10 | Securing the development of sites at Warton, and Atherstone by Housing Associations by March 2011 | Resources Board | DCE / AD (H) | Angela Coates | Housing | | Warton Parish Council have chosen another site to develop. Funding has not been available to proceed with sites in Atherstone. Resources Board agreed in March 2011 to work with Housing Association partners to bid for funds as part of the Homes and Communities Agency 4 year development programme. | Red | ↔ |
| 22 | Apr-10 | Developing new Council properties at Arley, Fillongley, Kingsbury and Water Orton by March 2011 | Resources Board | DCE / AD (H) | Angela Coates | Housing | | Three sites have been completed. The Fillongley scheme will be completed by June 2011. | Green | ↑ |
| 23 | Apr-10 | Preferred Partners and the Homes and Communities Agency to deliver a local investment plan by January 2011 that will identify opportunities for further affordable housing schemes in addition to those mentioned above | Resources Board | DCE / AD (H) | Angela Coates | Housing | | The Local Investment Plan has been agreed by the Resources and Executive Boards. | Green | ↑ |
| 25 | Apr-10 | Responding to the Tenant Services Authority standards by updating current service standards, publicising them and reporting on performance to all Tenants by October 2010 and having new service standards in place by April 2011 | Resources Board | AD (H) | Angela Coates | Housing | | The Annual Report to Tenants was completed by October 2010. New standards were sent out to tenants in April 2011. | Green | ↑ |
| 26 | Apr-10 | Acting on initiatives presented to Resources Board to set targets by July 2010 for the numbers of empty homes brought back into use and the numbers of private sector occupiers assisted in improving the condition of their homes by helping them access appropriate support and financial assistance | Resources Board | AD (H) | Angela Coates | Housing | | Options to bring empty homes back into use in Dordon and Hurley are being actively explored. Other opportunities will be taken up using Council Tax records. | Red | ↔ |
| 27 | Apr-10 | Complete the review of the Community Support Service and report to Members | Resources Board | AD (H) | Angela Coates | Health and Well Being | | The review of the Borough Care part of Community Support is underway. It has been agreed to be completed by June 2011. | Green | ↔ |

| Ref | Start Date | Action | Board | Lead Officer | Reporting Officer | Theme | Sub-Theme | Update | Traffic Light | Direction |
|-----|------------|---|-----------------|----------------|-------------------|-----------|-----------|--|---------------|---|
| 28 | Apr-10 | Establishing a new pilot service model to take forward the recommendations from the service review of the Home Improvement Agencies and related work streams in partnership with the County Council and other districts by March 2011 | Resources Board | AD (H) | Angela Coates | Housing | | New ways of working to deliver adaptations are being developed Countywide through the Home Improvement Agency efficiency review. North Warwickshire has changed its internal procedures to ensure we act effectively to deliver adaptations. | Green |  |
| 73 | Apr-10 | Reviewing the benefits and issues of the new flexible working arrangements by December 2011 | Resources Board | MT / AD (F&HR) | Sue Garner | Resources | | Some information gathered, with a plan in place to complete before December 2011. | Green |  |
| 74 | Apr-10 | Reducing office space by 30% if required to reflect the revised flexible working arrangements by March 2011 | Resources Board | MT / AD (S) | Richard Dobbs | Resources | | A reduction of around 20% has been identified to date. Further work with this is subject to progress with the accommodation project. | Green |  |
| 75 | Apr-10 | Timetabling reviews for all Human Resource policies, completing those identified for 2010/11 and providing briefing sessions as required | Resources Board | MT / AD (F&HR) | Sue Garner | Resources | | Two policies were reviewed in 2010/11. Work also began on other reviews. | Green |  |
| 76 | Apr-10 | Continuing to contribute to the efficiencies and savings targets through the delivery of the Procurement Strategy Action Plan | Resources Board | AD (CS) | Linda Bird | Resources | | Progress against Strategy Action Plan and achievement against procurement performance indicators reported to March 2011 Resources Board. | Green |  |
| 79 | Apr-10 | Research and develop options for extending the councils consultation with stakeholders on financial reporting and council priorities by March 2011 | Resources Board | DCE | Chris Brewer | Resources | | Proposals prepared. | Green |  |
| 80 | Apr-10 | Finalising the next stage of the Council's Accommodation Project work and updating the Council's Property Strategy and Asset Management Plan based on the outcomes of that project by March 2011 | Resources Board | DCE/ AD (S) | Richard Dobbs | Resources | DCE | Potential involvement of partners (WCC and Police) has been scaled back significantly due to budgetary pressures on those organisations. Project is now focussing on the best option to address the Council Offices' electrical installation. Final options to be considered in mid 2011 | Green |  |

Performance Indicators

| PI Ref | Description | Division | Section | High/Low is good | 2010/11 Target | 2009/10 Outturn | National Best Quartile | Performance | Traffic Light | Direction | Comments | Suggested reporting interval | Board |
|--------------------------------------|---|--------------|------------------------|------------------|----------------|-----------------|------------------------|-------------|---------------|-----------|---|------------------------------|-----------------|
| Finance & Human Resources | | | | | | | | | | | | | |
| F&HR LPI 4 | The % of invoices for commercial goods and services which were paid by the authority within 30 days of such invoiced being received by the Authority | Finance & HR | Financial Accountancy | High | 98% | 98.23% | 97.6%* | 98.23% | Green | ↔ | | Q | Resources Board |
| BVPI 12 | The proportion of working days / shifts lost to sickness absence | Finance & HR | Human Resources | Low | 10 | 10.46 | 8.4* | 9.69 | Green | ↑ | | Q | Resources Board |
| BVPI 13 | Voluntary leavers as a % of staff in post | Finance & HR | Human Resources | Low | 10% | 9.03% | N/A | 12.90% | Red | ↓ | Large proportion of retirements in the year - 6 in total. Also a high proportion of leavers were from the Leisure & Community Development division (27 leavers), which is an industry sector which has higher average turnover figures. | Q | Resources Board |
| NI 179a | VFM – total net value of ongoing cash-releasing value for money gains that have impacted since the start of the 2008/09 financial year (October estimate) | Finance & HR | Management Accountancy | - | £1,575,500 | £1,358,000 | N/A | £1,715,719 | Green | ↑ | This is a forecast figure to be achieved by the end of March 2011. The actual figures have yet to be confirmed. | Q | Resources Board |
| Housing | | | | | | | | | | | | | |
| HSG-LPI 9 | Percentage of calls answered through the Central Control system within 30 seconds. (TSA national standard 80%) : | Housing | Community Support | High | 97% | 97% | N/A | 97% | Green | ↔ | | Q | Resources Board |
| HSG-LPI 10 | Percentage of calls answered through the Central Control system within 60 seconds. (TSA national standard 96.5%): | Housing | Community Support | High | 99.0% | 99.3% | N/A | 99% | Green | ↔ | | Q | Resources Board |
| HSG-LPI 11 | The percentage of new Lifeline phone and pendant connections installed within seven working days of receipt of the application, in the cases where there is an existing telephone jackpoint and nearby electric socket. : | Housing | Community Support | High | 99% | 99% | N/A | 98.40% | Green | ↓ | 3 Lifelines not installed in 7 days due to capacity issues. | Q | Resources Board |
| HSG-LPI 12 | The percentage of client's details inputted and amended in the Central Control System within 12 hours of receipt. : | Housing | Community Support | High | 100% | 100% | N/A | 100% | Green | ↔ | | Q | Resources Board |
| HSG-LPI 13 | To carry out a follow up check within 10 working days of lifeline installation, to check that the client is happy & familiar with the operation of the system. : | Housing | Community Support | High | 98% | 95.6% | N/A | 100% | Green | ↑ | | Q | Resources Board |
| HSG-LPI 14 | The percentage of a representative sample of customers stating that they are satisfied with the overall service provided by Community Support when surveyed. | Housing | Community Support | High | 99% | 99.2% | N/A | 99% | Green | ↔ | | Q | Resources Board |
| NI 158 | Non decent homes | Housing | Housing Maintenance | Low | 0.00% | 1.02% | 7%* | 0% | Green | ⬆ | Work completed by December 2010 | A | Resources Board |
| New | % of response repairs completed right first time | Housing | Housing Maintenance | High | 90.00% | New | N/A | 92.00% | Green | ⬆ | | Q | Resources Board |

Performance Indicators

| PI Ref | Description | Division | Section | High/Low is good | 2010/11 Target | 2009/10 Outturn | National Best Quartile | Performance | Traffic Light | Direction | Comments | Suggested reporting interval | Board |
|------------|--|----------|--------------------------------|------------------|----------------|-----------------|------------------------|-------------|---------------|---|--|------------------------------|-----------------|
| HSG-LPI 3 | Average waiting time to complete an adaptation from request and completion of work | Housing | Housing Maintenance | Low | 130 days | 131.14 | N/A | 243 days | Red |  | The funding situation at the end of 2009/10 meant we took a backlog into 2010/11. This had a significant impact on performance at the start of the year until the backlog was cleared. | Q | Resources Board |
| HSG-LPI 4 | The average waiting time for adaptations to local authority housing for people with disabilities: a, time taken between initial request and referral | Housing | Housing Maintenance | Low | 90 days | 93 | N/A | 61 days | Green |  | 2 months | Q | Resources Board |
| HSG-LPI 5a | The average waiting time for adaptations to local authority housing for people with disabilities(excluding major work): between, time taken between referral and completion of work | Housing | Housing Maintenance | Low | 38 days | 38.14 | N/A | 182 days | Red |  | This year we have not included minor adaptations such as grab rails. 6 months | A | Resources Board |
| HSG-LPI 5b | The average waiting time for adaptations to local authority housing for people with disabilities where an extension is required: between, time taken between referral and completion of work | Housing | Housing Maintenance | Low | 12 months | 18 months | N/A | N/A | N/A | N/A | No extensions completed this year | A | Resources Board |
| HSG-LPI 6 | Gas certificates outstanding | Housing | Housing Maintenance | Low | 0.10% | 5.23% | N/A | 0.00% | Green |  | Programme in place to undertake work in 11 months | Q | Resources Board |
| NI 156 | Number of households living in temporary accommodation. (Snapshot at end of each quarter) | Housing | Housing Management | Low | 3 | 1 | 9 | 2 | Green |  | | Q | Resources Board |
| HSG-LPI 7 | Local authority rent collection and arrears: : Rent collected by the local authority as a proportion of rents owed on Housing Revenue Account (HRA) dwellings. | Housing | Housing Management | High | 99.00% | 99.21% | 99%* | 99% | Green |  | | A | Resources Board |
| New | Number of tenants with more than 7 weeks rent arrears | Housing | Housing Management | Low | 2.80% | New | | 2.40% | Green |  | | Q | Resources Board |
| HSG-LPI 8 | Average time taken to re-let local authority housing. | Housing | Housing Management | Low | 21 days | 22.4 | 24 days* | 27 days | Red |  | 30% increase in number of voids compared to previous years. Some required extensive work. | Q | Resources Board |
| EH-LPI 1 | To respond to all complaints and requests for service within three working days (Pests, Dogs and general env health FLARE system) | Housing | Private Sector & Public Health | High | 98% | 98.7% | N/A | 99.5% | Green |  | | Q | Resources Board |
| EH-LPI 10 | The number of private sector vacant dwellings that are found to be occupied, returned into occupation or demolished during the year as a direct result of action by the local authority : | Housing | Private Sector & Public Health | High | 25 | Not known | 53.3 | 5 | Red |  | Work is ongoing to bring properties back into use on specific estates. This has not yet been fruitful | A | Resources Board |
| New | The average waiting time for adaptations to private sector housing for people with disabilities: a, time taken between initial request and completion of work | Housing | Private Sector & Public Health | Low | 6 months | New | - | 12 months | Red |  | A county wide review of Home Improvement Agency services will address the efficiency and effectiveness of the service from 2011/12 | A | Resources Board |

Performance Indicators

| PI Ref | Description | Division | Section | High/Low is good | 2010/11 Target | 2009/10 Outturn | National Best Quartile | Performance | Traffic Light | Direction | Comments | Suggested reporting interval | Board |
|------------------------------|--|--------------------|--------------------------------|------------------|----------------|-----------------|------------------------|-------------|---------------|-----------|---|------------------------------|-----------------|
| New | The average waiting time for adaptations to private properties for people with disabilities(excluding major work): time taken between initial request and receipt of OT referral | Housing | Private Sector & Public Health | Low | 5 weeks | New | - | 13 weeks | Red | ↓ | This is concerned with County Council performance. Changes to staffing arrangements from September 2010 have assisted with speeding up referrals. | A | Resources Board |
| New | The average waiting time for adaptations to private properties for people with disabilities(excluding major work): time taken between date of OT referral and authorisation of grant application | Housing | Private Sector & Public Health | Low | 6 months | New | - | 7 months | Red | ↓ | A backlog of cases due to funding allocation from 2010/11 caused issues at the beginning of the year. An efficiency review has ensured there is no longer a backlog of cases. | A | Resources Board |
| Corporate Services | | | | | | | | | | | | | |
| INFS-LPI 1 | The percentage availability of corporate systems available to users Monday to Friday 8.00 am to 5.30 pm : | Corporate Services | Computer Services | High | 99.70% | 99.99% | N/A | 99.97% | Green | ↔ | | Q | Resources Board |
| INFS-LPI 3 | The percentage of initial response to helpdesk calls within four hours of a call being placed : | Corporate Services | Computer Services | High | 95% | 99% | N/A | 99.0% | Green | ↔ | | Q | Resources Board |
| INFS-LPI 7 | Percentage of Service Desk Calls resolved in target (total of IS3 to IS6) | Corporate Services | Computer Services | High | 95% | 97% | N/A | 96% | Green | ↓ | | Q | Resources Board |
| Revenues and Benefits | | | | | | | | | | | | | |
| CC-LPI 1 | The Percentage of Calls answered in 20 seconds in the contact centre | Revs & Bens | Contact Centre | High | 75% | 74% | N/A | 83% | Green | ↑ | | Q | Resources Board |
| BEN-LPI 4 | The percentage of all new claims processed within 14 days of receiving all relevant information : | Revs & Bens | Revs & Bens | High | 96.5% | 97.8% | N/A | 96.24% | Green | ↔ | | Q | Resources Board |
| LPI | Housing Benefit Security: : The number of prosecutions and sanctions, per 1,000 caseload.. | Revs & Bens | Revs & Bens | - | 5.5 | 6.3 | N/A | 6.19 | Green | ↔ | | Q | Resources Board |
| LPI | Speed of processing : Average time for processing new claims | Revs & Bens | Revs & Bens | Low | 21 | 17.9 | 24 | 20.7 | Green | ↔ | | Q | Resources Board |
| LPI | Speed of processing : Average time for processing notifications of changes of circumstance. | Revs & Bens | Revs & Bens | Low | 7 | 3.5 | 7.1 | 3.9 | Green | ↔ | | Q | Resources Board |
| NI181 | Overall Average Time for Processing Changes and New Claims | Revs & Bens | Revs & Bens | Low | 8.5 | 5.11 | N/A | 5.78 | Green | ↔ | | Q | Resources Board |
| LPI | The amount of Housing Benefit overpayments (HB) recovered during the period being reported on as a percentage of HB deemed recoverable overpayments during that period. : | Revs & Bens | Revs & Bens | High | 75% | 73.45% | 83.5%* | 78.84% | Green | ↑ | | Q | Resources Board |
| LPI | HB overpayments recovered during the period as a percentage of the total amount of HB overpayment debt outstanding at the start of the period plus amount of HB overpayments identified during the period. : | Revs & Bens | Revs & Bens | High | 40% | 41.04% | 37.5%* | 43.70% | Green | ↑ | | Q | Resources Board |

Performance Indicators

| PI Ref | Description | Division | Section | High/Low is good | 2010/11 Target | 2009/10 Outturn | National Best Quartile | Performance | Traffic Light | Direction | Comments | Suggested reporting interval | Board |
|------------|---|-------------|-------------|------------------|---|-----------------|------------------------|-------------|---------------|-----------|---|------------------------------|-----------------|
| LPI | Housing Benefit (HB) overpayments written off during the period as a percentage of the total amount of HB overpayment debt outstanding at the start of the period, plus amount of HB overpayments identified during the period. : | Revs & Bens | Revs & Bens | Low | 6% | 3.24% | N/A | 2.39% | Green | ↑ | | Q | Resources Board |
| LPI | Percentage of Discretionary Housing Payment budget committed | Revs & Bens | Revs & Bens | High | 100% | 93.96% | N/A | 92.86% | Red | ↑ | Under spent Government grant by approximately £1000 | Q | Resources Board |
| LPI | The percentage of non-domestic rates due for the financial year which were received by the authority. : | Revs & Bens | Revs & Bens | High | 99.00% | 99.35% | 99.4%* | 99.38% | Green | ↑ | | Q | Resources Board |
| LPI | Proportion of Council Tax collected. : | Revs & Bens | Revs & Bens | High | 98.40% | 98.52% | 98.6%* | 98.43% | Green | ↔ | | Q | Resources Board |
| CTAX-LPI 1 | Proportion of Direct Debit take up for Council Tax collection. : | Revs & Bens | Revs & Bens | High | 76% (or 1% more than baseline figure as at 31 March 2010) | 75% | N/A | 75.97% | Green | ↔ | | Q | Resources Board |
| CTAX-LPI 2 | Proportion of Direct Debit take up for NDR collection : | Revs & Bens | Revs & Bens | High | 66% (or 1% more than baseline figure as at 31 March 2010) | 64.92% | N/A | 65.32% | Red | ↔ | Economic Climate impact saw direct debit levels fall in respect of business payers looking to retain control of funds. Collection rates remained very high in spite of this trend | Q | Resources Board |

Agenda Item No 7

Resources Board

6 June 2011

Report of the Assistant Director (Finance and Human Resources)

New Human Resource Policies

1 Summary

- 3.1 This report advises Members of the background to the new policies on retirement, secondment and health and wellbeing and recommends the adoption of the policies for the Council. The policies have been consulted on with senior managers and the trade unions.

Recommendation to the Board

- a To adopt the Retirement Policy and Procedure;**
- b To adopt the Secondment Policy and Procedure; and**
- c To adopt the Health and Wellbeing Policy.**

2 Introduction

- 2.1 The Council uses policies to ensure that statutory requirements are being met in relation to the employment of people, and also to ensure that employees are being treated in a consistent and equitable manner, as far as reasonably possible.

3 Retirement Policy and Procedure

- 3.1 The Council has previously operated a contractual retirement age of 65 for all employees. Under the Employment Equality (Age) Regulations 2006, employees had the right to request to continue working beyond any compulsory retirement age imposed by their employer, either on an indefinite basis, for a defined period, or until a specified date.
- 3.2 The Council has successfully operated under the statutory procedure as laid down in the 2006 regulations, taking all reasonable steps to accommodate an employee's request to continue working beyond his/her contractual retirement age.
- 3.3 The Employment Equality (Repeal of Retirement Age Provisions) Regulations 2011, which came into force on 6 April 2011, abolished the default retirement age of 65 as set out in the Employment Equality (Age) Regulations 2006 (SI

2006/1031). With the abolishment of the default retirement age, the Council cannot operate a compulsory retirement age for its employees. This means that an individual's employment will only end if they resign, or if they are dismissed for a specific reason such as redundancy, poor performance or sickness absence. In response to this a Retirement Policy and Procedure has been written and is attached at Appendix A.

- 3.4 All employees may voluntarily retire at a time of their choosing by resigning from their post. The policy provides a framework for the Council to manage older workers and their exit from the Council when they choose to retire. Part of this framework will include the operation of a flexible retirement policy for members of the Local Government Pension scheme.

4 Secondment Policy and Procedure

- 4.1 A secondment is where an employee temporarily transfers within the Council or to another organisation for a period of time, for a specific purpose, to the mutual benefit of all parties. North Warwickshire Borough Council has secondment opportunities from time to time inside and sometimes outside of the Council. Although we do not have many secondments, a policy will ensure that when opportunities arise, there is a consistent approach taken.

- 4.2 The policy and procedure is attached at Appendix B. It covers the procedure to follow for both internal and external secondments. For external secondments the payments involved, conditions and any other provisions that apply, will be in a contractual agreement between the Council and the other organisation. The policy and procedure has been written to reflect what the Council does and clarifies for those who are seconded, and their managers, how the process works.

5 Health and Wellbeing Policy

- 5.1 The Management of Health and Safety at Work Regulations 1999 require employers to make arrangements to ensure the health and safety of their employees by, for example, performing risk assessments, providing employees with information and training, assessing employees' capabilities and promoting employee health and wellbeing through effective health surveillance programmes.

- 5.2 The Council under the Community Partnership works to provide leadership in improving the health and wellbeing of our communities. The Council also has a responsibility to its own staff and the policy presents a cohesive approach in encouraging staff to lead healthy lifestyles. The benefits can be improvement in staff relations and attendance at work.

- 5.3 The Council recognises that health and wellbeing and performance are linked and improving employees' ability to handle pressure and to balance work and home life will ultimately lead to improved individual and organisational performance. The Council looks at topics such as health needs of staff, new health initiatives and promoting healthy lifestyles through physical activity, the stop smoking service, and healthy eating. Through this work the Council is

committed to promoting, maintaining and improving the physical and mental health and wellbeing of all staff.

- ... 5.4 The Health and Wellbeing Policy will be the overarching document for the other health and wellbeing related policies e.g. special leave, flexible working, the management of short and long-term absence, sick pay, dignity at work, violence at work, equal opportunities and staff training and development, and is attached at Appendix C.

6 Report Implications

6.1 Human Resources Implications

- 6.1.1 As detailed in the report

6.2 Risk Management Implications

- ... 6.2.1 Attached as Appendix D.

6.3 Equalities Implications

- ... 6.3.1 As attached at Appendix E.

6.4 Links to Council's Priorities

- 6.4.1 The use of this policy will reduce the risk of inconsistencies. Proper management of employee issues through policies contributes to the Council's priority relating to the effective use of resources.

The Contact Officer for this report is Janis McCulloch (719236).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|---------------------|--------|----------------------------|------|
| | | | |

Retirement Policy and Procedure

March 2011



North Warwickshire
Borough Council

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1. Introduction

- 1.1** The Employment Equality (Repeal of Retirement Age Provisions) Regulations 2011, which came into force on 6 April 2011, abolish the default retirement age of 65 as set out in the Employment Equality (Age) Regulations 2006 (SI 2006/1031). The notification procedures for retirement under the default retirement age and the statutory right to request to continue working beyond the default retirement age are also abolished.
- 1.2** The purpose of this policy is to set out the Council's approach to the retirement of employees. This policy takes effect from 6 April 2011.

2. Retirement Age

- 2.1** The Council does not operate a compulsory retirement age for its employees [from 6 April 2011].
- 2.2** The Council is committed to equal opportunities for all its employees. The Council recognises the contributions of a diverse workforce, including the skills and experience of older employees. It believes that employees should, wherever possible, be permitted to continue working for as long as they wish to do so. The Council operates a flexible retirement policy for members of the Local Government Pension scheme. This is detailed in 4 below. All employees may voluntarily retire at a time of their choosing by resigning from their post. Employees are advised to seek independent financial advice before making their decision to retire.

3. Retirement Procedure

- 3.1** To assist the Council with its succession planning, if an employee has decided that he/she wishes to retire, he/she should inform their line manager in writing as far in advance as possible and, in any event, in accordance with his/her notice period as set out in his/her contract of employment. This will include employees who meet the 85 year rule and wish to exercise their right to retire.
- 3.2** The Council will write to the employee acknowledging the employee's notice to retire.
- 3.3** The Council will arrange a meeting with the employee to discuss arrangements for retirement, including the intended retirement date, succession and handover plans, pension details and phased retirement, if applicable.
- 3.4** Phased retirement allows a change of working pattern so that an employee can reduce his/her hours gradually (for example, move to part-time working) prior to retirement. It may, for example, involve changes to the employee's responsibilities to help the Council with its succession planning, and help the employee to adjust to, and prepare for, retirement. This can be in certain circumstances beneficial to the employee and the Council. Where this is agreed the employee will be paid relative to the reduction in hours and/or reduced responsibilities.

4. Flexible Retirement for Members of the LG Pension Scheme

- 4.1** The regulations state: **18.**—(1) A member who has attained the age of 55 and who, with his employer's consent, reduces the hours he works, or the grade in which he is employed, may make a request in writing to the appropriate administering authority to receive all or part of his benefits under these Regulations, and such benefits may, with his employer's consent, be paid ([SI 2008/1083](#)) to him notwithstanding that he has not retired from that employment.
- 4.2** There is no automatic right to flexible retirement and approval for flexible retirement will only be agreed where it is of benefit to the service or is of a sound economic benefit to the Council. This option is in line with our commitment to flexible employment options for staff.
- 4.3** If an employee wishes to make a request for flexible retirement in line with the regulations, he/she should inform their line manager in writing as far in advance as possible.
- 4.4** The Council will write to the employee acknowledging the employee's request.
- 4.5** The line manager should discuss the options with HR and their Assistant Director and consider the following before making a decision whether to support in principal the request for flexible retirement or not:
- There is no detrimental effect on service delivery
 - There is a sound economic benefit to the Council
 - The arrangement is fair and equitable to other team members
- If the Council can support in principal the request, HR should obtain a written estimate of the employee's pension including any net capital cost to the Council.
- 4.6** The Council will arrange a meeting with the employee to discuss their request. This discussion could include phased retirement.
- 4.7** Following the meeting the Council will consider whether they can consent to the employee's request or not. The employee will be notified of the Council's decision within 28 days of the meeting.
- 4.8** If the Council agrees to the flexible retirement HR will facilitate this by liaising with the employee and the pension scheme.
- 4.9** If the request is not approved, the employee will have the right of appeal. This must be submitted in writing, clearly stating the grounds of appeal, within 10 working days of the original decision being received to the Deputy Chief Executive. An appeal meeting will be convened within 28 days of receipt of the appeal letter. The Deputy Chief Executive will hear the appeal and will be accompanied by a representative from HR. In the event of the Deputy Chief Executive not being available to hear the appeal within 28 days another member of the Management Team will hear the appeal.

4.10 The Assistant Director will present the management case ie. will explain why the request was not approved.

4.11 The employee will have the right to be accompanied at the meeting by a colleague or a Trade Union representative. The Deputy Chief Executive will announce the decision verbally as soon as is practicable following the appeal meeting and confirm this in writing, or in writing as may be determined, not more than five working days after the appeal meeting. The outcome is final.

5. Workplace Discussions

5.1 The Council will invite all employees to regular workplace discussions with their line managers. Ideally these will take place when performance appraisals are carried out. During those discussions, the relevant line manager will discuss the employee's performance, developmental or training needs and the Council's and employee's future plans and expectations in the short, medium and long-term. During those meetings, where appropriate, employees may discuss their future plans or proposals for retirement.

5.2 A record of each workplace discussion will be kept as part of the appraisal record and a copy given to the employee.

5.3 A discussion about possible retirement will not result in the Council making any assumptions about the employee's commitment to the Council. The Council seeks to retain the best talent, including older employees. Workplace discussions are an informal opportunity for both the Council and employees to plan jointly for the future.

5.4 The Local Government Pension Scheme will come to the Council and run retirement planning sessions for staff of all ages. As part of their visit they will also do 1:1 meetings with staff who wish to discuss their particular case in private. If employees need this service they need to indicate this at their appraisal and the line manager will put this onto their training plan. HR will then arrange these events to meet the needs identified.

6. Succession Planning

6.1 An employee who is shortly to retire will often have considerable knowledge in relation to his/her role and responsibilities. The Council may require the employee's assistance and cooperation for succession planning.

6.2 Prior to retirement, employees should cooperate with the Council, if requested to do so, by:

- providing full written details of the status of work projects and future steps;
- assisting making an up to date job description and person specification available;
- ensuring a smooth handover of work; and
- assisting in training any successor.

7. Monitoring and Review of Policy

- 7.1** This policy will be reviewed in line with legislative changes and changes to the Local Government Pension Scheme

8. Communication and Training

- 8.1** The provisions of this policy and any updates will be communicated to all employees of the Council.

9. Law Relating to this Document

Leading statutory authority

Employment Rights Act 1996

Equality Act 2010

Employment Equality (Repeal of Retirement Age Provisions) Regulations 2011

[Working without the default retirement age \(PDF format, 856K\)](#) (on the Acas website)

Secondment Policy and Procedure

February 2011



North Warwickshire
Borough Council

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1. Introduction

A secondment is where an employee temporarily transfers within the Council or to another organisation for a period of time, for a specific purpose, to the mutual benefit of all parties.

If the manager can identify a suitable employee with the right skill set to complete a project or piece of work, there will be no need to advertise. However, if a number of employees are deemed suitable, managers will follow the recruitment and selection process.

A secondment may involve an individual transferring temporarily on the same grade or there may be an increase in grade to reflect higher level duties and responsibilities.

2. Scope

This Policy applies to all employees.

3. Guiding Principles

Employees wishing to apply for a secondment must get approval from their manager before application.

- a) The terms of the secondment must be agreed by the employee, substantive and secondment managers (the three parties) and confirmed in writing.
- b) The secondee has the right to return to their substantive post either at the end of the secondment or earlier in line with the agreed notice period.
- c) Given the need for induction and training it is unlikely a secondment of less than 3 months would be effective.
- d) Secondments will ideally be less than 2 years and the employee will retain the right to return to his or her substantive post. This can be amended depending on the circumstances - managers should consult HR.
- e) If managers choose to backfill the secondee's post, this must be done on a temporary basis to ensure that the secondee is able to return to their substantive post at the end of the secondment or earlier if required.
- f) If the secondment is outside the Council, then the payment, conditions and any other provisions that will apply will be in a contractual agreement between the Council and the other organisation.
- g) Secondees will be paid the evaluated rate for the job.

4. Benefits to the Organisation and the Individual

- a) Secondments develop employee skills and knowledge, enhance organisational flexibility, offer a way to plug short and longer term skill gaps and can voluntarily precipitate permanent movement.
- b) Enables movement of employees to areas requiring short term resource.
- c) Directs expertise to where it is most needed.
- d) Supports "joined up" working across the Council
- e) Supports employee development and flexibility of employment.
- f) Strengthens a culture of flexibility.
- g) Attracts employees who are flexible and keen to develop

- h) Gives individuals the opportunity to develop skills and knowledge outside their normal post, thereby enhancing career development opportunities, whilst at the same time maintaining the security of permanent employment.

5. Procedure

- a) Suitable internal vacancy advertisements should carry a reference to the fact that it is a secondment opportunity.
- b) The recruitment and selection policy and procedure will be adhered to during the selection process.
- c) Prior to an employee applying for a secondment it should be discussed with his/her line manager, and written agreement for the term of the secondment obtained. It is essential that the terms of the secondment are fully understood and agreed by all parties. Approval may be withheld for operational reasons. The right of appeal would be in accordance with the Grievance Procedure.
- d) The successful candidate will be written to, to confirm the offer and terms of the secondment, and the arrangements to be followed at the end of the secondment.
- e) A variation form will be completed by the recruiting manager and forwarded to HR.
- f) The employee will be paid the evaluated rate for the job provided he/she is carrying out the full range of duties to an acceptable standard.
- g) A lower spinal column point may be offered if the full range of duties is not to be immediately undertaken – criteria for incremental progression should be agreed at the outset of the secondment.
- h) There is no salary protection if the secondment is at a lower grade than the individual's substantive post.
- i) For the duration of the secondment the terms and conditions of that post will apply.
- j) Induction will be planned and there will be scheduled reviews in line with the Council's Supported Introduction to Employment Policy.
- k) The secondment may be terminated early by either party giving the agreed notice.
- l) At least four weeks prior to the end of the secondment the employee will be written to and advised that the secondment will end and the arrangements for his/her return to the substantive post. Liaison should take place between the appropriate managers to ensure a smooth return.
- m) The secondment will end on the date stated and the employee will return to their substantive post on its terms and conditions.
- n) The substantive post line manager will complete a variation form and forward to HR.

6. Secondment Opportunity Becomes an Established Post

If a secondment opportunity subsequently becomes an established post - the permanent post will be advertised, as a minimum internally. The recruitment and selection policy and procedure will be adhered to during the selection process.

Health and Wellbeing Policy

March 2011



North Warwickshire
Borough Council

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1. Introduction

North Warwickshire Borough Council has developed a Health and Wellbeing Policy to manage obligations to maintain the health and wellbeing of all staff. It covers the Council's commitment to employees' health by focusing on prevention instead of cure; the responsibilities of managers and others for maintaining overall health and wellbeing; health promotion initiatives; communicating and training on health issues; and, the range of support available for promoting health and wellbeing within the Council.

2. Health and Wellbeing Policy Objectives

The aim of this policy is to develop a healthy and valued workforce by engaging and supporting staff to improve and maintain their individual health and wellbeing. The Council recognises that health and wellbeing and performance are linked and improving employees' ability to handle pressure and to balance work and home life will ultimately lead to improved individual and organisational performance.

As part of its committing to ensure good working conditions, the Council has set up an 'Improving the way we work' group. The 'health' aspect of this group looks at topics such as health needs of staff, new health initiatives and promoting healthy lifestyles through physical activity, the stop smoking service, and healthy eating. Through this work the Council is committed to promoting, maintaining and improving the physical and mental health and wellbeing of all staff.

The Council will put in place measures to prevent and manage risks to employee health and wellbeing, together with appropriate training and individual support. It will also seek to foster a mentally healthy culture by incorporating these principles into line manager training and running initiatives to raise awareness of mental health and wellbeing issues at work.

This can be achieved by:

1. The Council taking all reasonable steps to facilitate a healthy and enabled workforce and;
2. Ensuring that members of staff and volunteers are supported in maintaining their health and wellbeing.

Champions for this policy are:

Senior Officer: Assistant Director Finance & HR

Member Lead: Community Health Portfolio Holder

The benefits and signs of a healthy workforce to North Warwickshire Borough Council are:

- Improved productivity
- Reduced sickness absence
- Reduced staff turnover and the retention of valued staff

- Improved staff attitudes towards the organisation
- Higher staff moral
- Employees feel valued and involved in the organisation
- Managers use appropriate health services to tackle absence and help people get back to work
- Jobs are flexible and well designed
- With HR and occupational health guidance managers will know how to manage common health problems such as mental health and musculoskeletal disorders

Benefits of a healthy workforce to employees are:

- Improved job satisfaction
- Improved mental health and well-being due to supportive workplace policies and practice
- Improved support from more understanding line managers
- Improved signposting and access to specialist mental health services for those who might need further support
- Increased opportunity to build psychological resilience, which may help people to carry on working through times of challenge.

3. Responsibilities to Ensure a Healthy Workplace

Employer

The employer has a legal duty of care to employees to ensure health at work, as set out in the Health and Safety at Work etc Act 1974 and the Management of Health and Safety at Work Regulations 1999. The employer will ensure that its policies and practices reflect this duty and review the operation of these documents at regular intervals.

Line Managers

Line Managers have a key role in supporting the health and wellbeing of their employees. Line Managers will put in place measures to minimise the risks to employee health and wellbeing, particularly from negative pressure at work. For example, managers should ensure that employees understand their role within the team and receive the necessary information and support from managers and team members to do their job. Managers must familiarise themselves with the organisation's policies on diversity and tackling inappropriate behaviour in order to support staff. Line managers must know how to manage common health problems and promote an attendance culture by conducting return to work discussions.

In particular, line managers must ensure that they take steps to reduce the risks to employee health and wellbeing by:

- ensuring that the right people are recruited to the right jobs and that a good match is obtained between individuals recruited and job descriptions/specifications;
- keeping employees in the team up to date with developments at work and how these might affect their job and workload;
- ensuring employees know who to approach with problems concerning their role and how to pursue issues with senior management;
- making sure jobs are designed fairly and that work is allocated appropriately between teams;
- ensuring that workstations are regularly assessed to ensure that they are appropriate and fit for purpose; and
- encouraging employees to take part in the Council's health and wellbeing initiatives.

Human Resources

The HR department will develop organisation-wide policies and procedures to protect the health and wellbeing of employees, assist line managers in supporting individuals, and liaise as appropriate with occupational health and other medical professionals, with the object of helping employees to maintain good physical and psychological health.

Occupational Health

Occupational health professionals will provide a service designed to help employees stay in work, or to return to work, after experiencing physical or mental health problems. This will include preparing medical assessments of individuals' fitness for work following referrals from line managers and the HR department, liaising with GPs and working with individuals to help them to retain employment.

Occupational health professionals will play a critical part in developing rehabilitation plans for employees returning to work after absences related to mental ill health, and work with GPs and line managers on reasonable adjustments to ensure that rehabilitation is successful.

Workplace Counselling and Employee Assistance

Workplace counselling and employee assistance services are always voluntary and can be accessed through HR. It is entered into without prejudice to the employee's job security or personal development. However, it does not prevent other procedures such as disciplinary or performance management taking place where appropriate.

Counselling is an important component of preventing employees from being impaired rather than retrospectively dealing with pressures or crisis that have already occurred. It proactively compliments the work of occupational health and other support services.

Where appropriate services from other professionals such as coaches, therapists or trainers in specialist fields will be sourced.

Workplace counselling and employee assistance is there to provide support to deal with work and personal issues that have the potential to affect performance and/or

safety at work. Employees may require assistance for a wide variety of subjects, including health concerns (such as alcohol and drug abuse, smoking, stress and anxiety) and/or bereavement or conflicts at work.

All contact between the employee and the professional is confidential. However, where the professional believes that the Council needs to take any action(s) to improve the situation they will report back.

Employees

The primary responsibility for an employee's health remains with the employee. Employees must take responsibility for managing their own health and wellbeing, by adopting good health behaviours (for example in relation to diet, alcohol consumption and smoking) and informing the employer if they believe work or the work environment poses a risk to their health. Any health-related information disclosed by an employee during discussions with managers, the HR department or the occupational health service is treated in confidence.

4. Health Promotion Initiatives within North Warwickshire Borough Council

The Council will develop a health events programme and run a range of health promotion initiatives designed to raise awareness of health and lifestyle issues affecting mental health and physical wellbeing. The HR department will have primary responsibility for leading these programmes, but line managers and employees will be expected to participate. These programmes will be evaluated to determine their effectiveness.

The programmes will cover:

- stress management;
- disability awareness;
- bullying and harassment;
- handling violence and traumatic incidents at work;
- lifestyle behaviours including alcohol and drug awareness
- physical activity and fitness.

Increasing awareness on health issues, healthy eating and lifestyle management will be provided by the Council's Community Development Officer (Health Improvement). Employees will have access to health and wellbeing information through various displays, leaflets and booklets. Employees will also have access to a dedicated Wellness Matters information which covers a wide variety of all health and wellbeing information. Staff will also be encouraged to take part in health related events within the Council and other health and wellbeing initiatives that may be arranged from time to time such as lunchtime health walks and free health checks.

Where the Council can draw down/bid for funding for initiatives on improving the health and wellbeing of employees these will be actively pursued.

5. Training and Communications

Line managers and employees will regularly discuss individual training needs to ensure that employees have the necessary skills to adapt to ever-changing job demands. An examination of training needs will be particularly important prior to, and during, periods of organisational change.

Managers and employees are encouraged to participate in communication/feedback exercises, including staff surveys. The organisation will ensure that structures exist to give employees regular feedback on their performance, and for them to raise concerns.

The organisation will consider special communication media during periods of organisational change.

Managers receive training in the application of all policies and recognising and managing stress in their staff and themselves

6. Occupational Health and other Professional Support

Where appropriate line managers and employees can arrange referrals to occupational health through HR.

Workplace health and wellbeing services provided by the occupational health team include:

- workstation assessments;
- pre-employment screening;
- fitness-for-work assessments;
- eye tests for users of visual display screen equipment;
- post-incident support;
- designing and advising on health promotion initiatives;
- health and safety training; and
- counselling

If employees believe that their work, or some aspect of it, is putting their health and wellbeing at risk they should, in the first instance, speak to their line manager or the HR department. The discussion should cover workload and other aspects of job demands, and raise issues such as identified training needs.

A referral to the occupational health team will be made if this is considered appropriate after an employee's initial discussion with his/her manager or the HR department. Discussions between employees and the occupational health professionals are confidential, although the occupational health team will provide a report on the employee's fitness to work, and any recommended adaptations to the working environment, to the HR department.

7. Other Measures Available to Support Employees in Maintaining Health and Wellbeing Include:

- procedures for reporting and handling inappropriate behaviour (for example bullying and harassment);
- special leave arrangements;
- opportunities for flexible working;
- support for workers with disabilities; and
- Maternity/paternity leave.

8. Relationship with other Policies

The health and wellbeing policy should be read in conjunction with other policies and procedures covering attendance and health, including special leave, flexible working, the management of short and long-term absence, sick pay, dignity at work, violence at work, equal opportunities and staff training and development.

9. Law Relating to this Document

Health and Safety at Work etc Act 1974

Management of Health and Safety at Work Regulations 1999 (SI 1999/3242)

Section 2 of the Health and Safety at Work etc Act 1974 requires employers to ensure, as far as is reasonably practicable, the health, safety and welfare at work of all their employees.

The Management of Health and Safety at Work Regulations 1999 require employers to make arrangements to ensure the health and safety of their employees by, for example, performing risk assessments, providing employees with information and training, assessing employees' capabilities and promoting employee health and wellbeing through effective health surveillance programmes.

10. Monitoring and Review

The provisions of this policy will be subject to regular review and as required by changes in legislation and guidance. The first review will be in January 2014 when the next review date will be set. The Human Resource Section will monitor the policy.

The provisions of this policy and any updates will be communicated to all employees of the Council.

Agenda Item No 8

Resources Board

6 June 2011

Report of the Deputy Chief Executive

Treasury Management Revised Annual Investment Strategy

1 Summary

1.1 This report shows a revised Annual Investment Strategy for 2011/12.

Recommendation to the Board

That the revised strategy for 2011/12 be accepted.

3 Report

3.1 The Council's Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy for 2011/12 was agreed at Resources Board on 1 February and at full Council on 23 February 2011.

3.2 It is becoming increasingly difficult to invest council funds in counterparties with a sufficiently high credit rating and fulfilling other criteria used by the Council's Treasury Management consultants, Sector. It is therefore suggested that some revisions should be made to the Creditworthiness Policy. The old wording is shown as crossed through with the revised wording shown in bold, The Deputy Chief Executive does not feel that these revisions compromise the Council's investment priorities.

4 Revised Annual Investment Strategy

4.1 The Council will have regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the 2009 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities are: -

- a) the security of capital; and
- b) the liquidity of its investments.

4.2 The Council will also aim to achieve the optimum return on its investments commensurate with proper levels of security and liquidity. The risk appetite of this Council is low in order to give priority to security of its investments.

4.3 The borrowing of monies purely to invest or on-lend and make a return is unlawful and this Council will not engage in such activity.

4.4 Investment instruments identified for use in the financial year are listed in Appendix A under the 'Specified' and 'Non-Specified' Investments categories. Counterparty limits will be as set through the Council's Treasury Management Practices – Schedules.

5 Creditworthiness Policy

5.1 This Council uses the creditworthiness service provided by Sector Treasury Services. This service has been progressively enhanced over the last year and now uses a sophisticated modelling approach with credit ratings from all three rating agencies - Fitch, Moodys and Standard and Poors, forming the core element. However, it does not rely solely on the current credit ratings of counterparties but also uses the following as overlays: -

- credit watches and credit outlooks from credit rating agencies
- Credit Default Swap (CDS) spreads to give early warning of likely changes in credit ratings
- sovereign ratings to select counterparties from only the most creditworthy countries

5.2 It is necessary to restrict the level of investments which may be made with any individual institution and also within any group to which they belong. Details are shown below.

| Group Limit – Up to 30% of total investments, non UK nationalised or non UK part nationalised | | |
|---|---------------------------------------|----------------------------|
| Group Limit – Up to 40% of total investments, if banks are UK nationalised or UK part nationalised | | |
| Other Limits- Up to 50% of total investments may be invested for a period of more than 1 year | | |
| Up to 100% of total investments may be made in UK institutions | | |
| Up to 50% of total investments may be made in non UK institutions | | |
| Up to 100% of total investments may be invested for a period up to 1 year | | |
| Up to 20% of the investment portfolio in any one country outside the UK | | |
| Money market Funds- as the funds are spread over a large number of institutions, these do not form part of any group limit. | | |
| Individual Limits | Amount or % of total investments held | Rating |
| >1 Year | £2 million | Supranational banks AAA |
| >1 Year | £2.5 £3million | AAA Money Market Funds |
| >1 Year | £2 million | AAA F1+ |
| > 1 Year | £1 million | AA- F1+ |
| < 1 Year | £2 million | AAA F1+ |
| < 1 Year | £2 million | AA+ F1 |
| < 1 Year | £2 million | AA F1+ |
| <1 Year | £2 million | AA- F1+ |
| < 6 Months | £1 million | A+ F1+ |
| < 3 Months | £750,000 | A F1 |

- 5.3 All credit ratings will be monitored weekly. The Council is alerted to changes to ratings of all three agencies through the use of the Sector creditworthiness service. The table above includes an increase in potential investments in AAA money market funds from £2.5million to £3 million, due to funds being spread over a wide range of investments.
- 5.4 If a downgrade results in the counterparty/ investment scheme no longer meeting the Council's minimum credit criteria, its further use as a new investment will be withdrawn immediately.
- 5.5 Sole reliance will not be placed on the use of external services. In addition, the Council will use market data and market information, information on government support for banks and the credit rating of that government support.
- 5.6 For its cash flow generated balances, the Council will seek to utilise business reserve accounts, money market funds and short-dated deposits in order to benefit from compounding of interest.

6 Report Implications

6.1 Finance and Value for Money Implications

- 6.1.1 There are no financial implications arising directly from this report. An Annual Report on Treasury Management including investment activity will be presented to the Resources Board and Full Council by 30 September each year.

6.2 Environment and Sustainability Implications

- 6.2.1 Having appropriate controls through the Investment Strategy contributes towards the sustainable provision of services.

6.3 Risk Management Implications

- 6.3.1 The stringent controls in place for the treasury management function all help to minimise any risk. Establishing the credit quality of counter-parties reduces the risk of investments. In making any investment decision, whether it is an overnight investment or for a period of longer than one year, the level of risk is always taken into account.

The Contact Officer for this report is Jackie Marshall (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|---------------------|--------|----------------------------|------|
| | | | |

LOCAL GOVERNMENT INVESTMENTS (England)**SPECIFIED INVESTMENTS**

All investments listed below must be sterling-denominated, with maturities up to a maximum of 1 year.

| Investment | Repayable/ Redeemable within 12 months? | Security / 'High' Credit Rating criteria | Circumstance of use | Maximum period |
|--|--|--|---------------------|---|
| Money Market Funds <i>These funds do not have any maturity date- structured as Open Ended Investment Companies (OEICs)</i> | Yes | Yes – AAA rated | In-house | the period of investment may not be determined at the outset but would be subject to cash flow and liquidity requirements |
| Debt Management Agency Deposit Facility¹ | Yes | N/A | In –house | 364 days |
| Term Deposits- Local Authorities | Yes | N/A | In –house | 364 days |
| Term Deposits- Banks and Building Societies | Yes | See Strategy | In –house | 364 days |
| Banks nationalised by high credit rated countries (sovereign rating) | Yes | Sovereign rating | In -house | 364 days |
| Government guarantee on ALL deposits by high credit rated countries (sovereign rating) | Yes | Sovereign rating | In -house | 364 days |

Monitoring of credit ratings :

All credit ratings will be monitored *weekly or more frequently if needed.*

Forward Deposits:

Forward deposits may be made. However, the forward period plus the deal period should not exceed one year in aggregate.

LOCAL GOVERNMENT INVESTMENT (England)

NON-SPECIFIED INVESTMENTS- A maximum of 50% may be held in non-specified investments

| Maturities in excess of 1 year <u>Investment</u> | <u>(A) Why use it?</u> <u>(B) Associated risks?</u> | <u>Repayable/ Redeemable within 12 months?</u> | <u>Security / Minimum credit rating</u> ** | <u>Circumstance of use</u> | <u>Max % of overall investments</u> | <u>Maximum maturity of investment</u> |
|--|--|--|--|--|-------------------------------------|---------------------------------------|
| Term deposits with credit rated deposit takers (banks and building societies) with maturities greater than 1 year | (A) (i) Certainty of rate of return over period invested. (ii) No movement in capital value of deposit despite changes in interest rate environment. (B) (i) Illiquid : as a general rule, cannot be traded or repaid prior to maturity. (ii) Return will be lower if interest rates rise after making the investment. (iii) Credit risk : potential for greater deterioration in credit quality over longer period | No | Period and amount will be dependent on credit ratings, as shown on authorised list | in-house | | <i>Suggested limit : 5 years</i> |
| Callable deposits with credit rated deposit takers (banks and building societies) with maturities greater than 1 year | (A) (i) Enhanced income ~ Potentially higher return than using a term deposit with similar maturity. (B) (i) Illiquid – only borrower has the right to pay back deposit; the lender does not have a similar call. (ii) period over which investment will actually be held is not known at the outset. (iii) Interest rate risk : borrower will not pay back deposit if interest rates rise after deposit is made. | No | Period and amount will be dependent on credit ratings, as shown on authorised list | to be used in-house after consultation/ advice from Sector | | <i>Suggested limit : 5 years</i> |
| Term deposits- local authorities | Going concern | No | N/A | In house | | |

| | | | | | | |
|--|---|--|-----|---|--|-------------------------------------|
| UK Gilt Government | <p>A) Enhanced income – potentially higher return than using a term deposit with similar maturity</p> <p>B) Interest rate risk. However, if held to maturity, both principal and interest will be paid. Price will move throughout the life of the gilt</p> | | AAA | To be used in-house after consultation/advice from Sector | | <i>Suggested limit 10 years</i> |
| Bonds issued by a financial institution guaranteed by the UK Government | <p>A) Enhanced income – potentially higher return than using a term deposit with similar maturity</p> <p>B) Interest rate risk. However, if held to maturity, both principal and interest will be paid. Price will move throughout the life of the bond</p> | | AAA | To be used in-house after consultation/advice from Sector | | <i>Suggested limit 10 years</i> |
| Bond Funds Gilt Funds (Collective Investment Schemes structured as Open Ended Investment Companies) | <p>A) Enhanced income – potentially higher return than using a term deposit with similar maturity</p> <p>B) Interest rate risk. However, if held to maturity, both principal and interest will be paid. Price will move throughout the life of the bond</p> | | AAA | To be used in-house after consultation/advice from Sector | | <i>Suggested limit 10 years</i> |
| Sovereign Bonds (i.e. other than the UK Government) | <p>A) Enhanced income – potentially higher return than using a term deposit with similar maturity</p> <p>B) Interest rate risk. However, if held to maturity, both principal and interest will be paid. Price will move throughout the life of the bond</p> | | AAA | To be used in-house after consultation/advice from Sector | | <i>Suggested limit 10 years</i> |

| | | | | | | |
|---|--|----|------------------------------|---|--|--|
| Bonds issued by Multilateral Development Banks | <p>(A) (i) Excellent credit quality. (ii) relatively liquid. (although not as liquid as gilts) (iii) If held to maturity, known yield (rate of return) per annum, which would be higher than that on comparable gilt ~ aids forward planning, enhanced return compared to gilts. (iv) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity)</p> <p>(B) (i) 'Market or interest rate risk' : Yield subject to movement during life of bond which could negatively impact on price of the bond i.e. potential for capital loss. (ii) Spread versus gilts could widen</p> | No | AAA or government guaranteed | Buy and hold to maturity : to be used in-house after consultation/ advice from Sector | | |
|---|--|----|------------------------------|---|--|--|

Agenda Item No 9

Resources Board

6 June 2011

Report of the
Deputy Chief Executive

Internal Audit – Performance for
2010/11

1 Summary

- 1.1 The report allows the Board to monitor the progress of the Council's Internal Audit function against the agreed plan of work for the year.

Recommendation to the Board

Recommendation to the Board

That the report be noted.

2 Introduction

- 2.1 The CIPFA Code of Practice on Internal Audit in Local Government defines standards of best practice for internal audit. The Code requires that Members both approve the Internal Audit Section's strategic work plan and receive periodic reports on performance against plan. This report summarises performance with reference to the Annual Plan for April 2010 to March 2011.

3 Summary of Work Completed

- ... 3.1 Appendix A summarises progress on the s151 audit plan for the period, identifying audits completed and indicating the extent of progress on those audits still outstanding, whilst Appendix B provides definition of the level of assurance given. The appendix shows that all key planned areas have been addressed within time, the exception being some lower risk audits which due to temporarily reduced staffing have been deferred until 2011-12 to allow completion of key financial system audits by 31 March 2011 to meet external audit requirements. The 90% performance target was exceeded with a 91% result.
- ... 3.2 All of the required financial audits for review by the external auditors were completed by the 31 March deadline. The external auditors have confirmed that they have been able to place full reliance on the work they reviewed carried out by the internal team.
- 3.3 Audit reports submitted to Board for the first, second and third quarters of the year detail individual audits completed to that time. This report text refers only to those completed during the final quarter.

Internal Audit can place a high level of assurance on the following final reviews:

Main Accounting – No recommendations

Budgetary Control – No recommendations

Payroll – No recommendations

Benefits – No recommendations

Capital Expenditure – No recommendations

Council Tax – No recommendations

NDR – No recommendations

Cash and Banking – No recommendations

Creditors – No recommendations

Treasury Management – No recommendations

Housing Rents – No recommendations

Risk Management – 3 recommendations

Debtors – 3 recommendations

- 3.4 The Internal Audit Section has undertaken a range of work recorded under contingency audits. These are reviews carried out either resulting from departmental requests, external audit suggestions or where Internal Audit have responsibility for service activity and incorporates checking reporting information from the National Fraud Initiative. Corporate Counter Anti Fraud activity is secured and managed through a buy in arrangement from an experienced supplier, of twenty days per year.
- 3.5 The performance standards set by the Audit Commission require that Internal Audit completes at least 90% of planned work in the year unless there are good reasons otherwise. In calculating that statistic, planned work deferred at client request is ignored if such deferrals have appropriate justification. All client requests for deferrals have been based on sound, service based justifications.
- 3.6 The audit team have worked in compliance with the existing approved Internal Audit Strategy. This is due for revision and will be submitted at a later date.
- 3.7 The plan for 2010-11 was flexible to accommodate a reduced team for April through to February, when a revised and improved structure agreed during 2010 resulted in the recruitment of an experienced part time auditor at the beginning of March 2011.
- 3.8 IT Audit work is achieved through a contractual arrangement secured across all councils within Warwickshire. In 2010-11 reviews completed covered Home Working Arrangements, Government Connect Compliance and Corporate Records Management all achieving a high level of assurance with a Debtors review resulting in a Medium level of assurance.

4 Report Implications

4.1 Risk Management Implications

- 4.1.1 Failure to provide an effective Internal Audit Service may adversely affect the level of internal control operating within the Council and will attract criticism from external assessors, such as the Audit Commission and the External Auditor.

4.2 Links to Council's Priorities

4.2.1 The audit programme agreed and delivered is aligned to both the priorities of the Council and the requirements of external assessors.

The Contact Officer for this report is Barbara Haswell (719416).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|---------------------|--------|----------------------------|------|
| | | | |

Appendix A

Audits Completed January to March 2011

| Audit | Quarter Due | Status | Assurance Level | Tot No. of Recs | High Priority | Medium Priority | Low Priority | H/M Recs not Agreed(see att) |
|-------------------------------|--------------------|---------------|------------------------|------------------------|----------------------|------------------------|---------------------|-------------------------------------|
| Main Accounting | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Creditors | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Budgetary Control | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Payroll | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Benefits | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Capital | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Council Tax | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| NDR | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Debtors | 4 | Final | High | 1 | 0 | 1 | 0 | 1 |
| Cash and Banking | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Treasury Management | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Housing Rents | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Petty cash | 4 | Final | High | 0 | 0 | 0 | 0 | 0 |
| Housing maintenance | 4 | Ongoing | | | | | | |
| Corporate Records Management | IT | Final | High | 2 | 0 | 1 | 1 | 2 |
| Home Working Arrangements | IT | Final | High | 1 | 0 | 0 | 1 | 1 |
| Government Connect Compliance | IT | Final | High | 2 | 0 | 0 | 2 | 2 |
| Debtors | IT | Final | Medium | 2 | 0 | 1 | 1 | 2 |

Reasons for not providing a high assurance level on final reports

Debtors IT review showed that lock out after unsuccessful log in could be improved, there was no prompt at log in to discourage unauthorised users and debt reporting results from a workaround rather than the TASK system.

Progress Against Audit Plan

| Audit | Status | Audit | Status |
|-------------------------------------|---------------|-----------------------|---------------|
| Performance Indicators & Management | Completed | Partnerships | Completed |
| HR Processes | Completed | Fees & Charges | Completed |
| Licensing | Completed | Choice Based Lettings | Completed |
| Risk Management | Completed | Mortgages | Completed |
| Concessionary travel | Completed | Procurement | Completed |

| Audit | Status | Audit | Status |
|--|---------------|---------------------------------|---------------|
| Car parks | Completed | Office cleaning | Completed |
| Emergency Planning & Business Continuity | Completed | Area Forum Grants (contingency) | Completed |
| Cash income analysis (Contingency) | Completed | Asset Register | Completed |
| NFI data reports | Completed | Main Accounting | Completed |
| Creditors | Completed | Budgetary Control | Completed |
| Payroll | Completed | Benefits | Completed |
| Capital | Completed | Council Tax | Completed |
| NDR | Completed | Debtors | Completed |
| Cash and Banking | Completed | Treasury Management | Completed |
| Housing Rents | Completed | Petty cash | Completed |
| Housing maintenance | Ongoing | | |
| IT Audits Completed | | | |
| Corporate Records Management | Completed | Home Working Arrangements | Completed |
| Government Connect Compliance | Completed | Debtors | Completed |

Audits of energy management and housing management processes have been postponed until 2011-12.

Appendix B

Assurance level definitions:

| Overall Audit Opinion | |
|------------------------------|--|
| High | Controls are in place and operating satisfactorily. Reasonable assurance can be given that the system, process or activity should achieve its objectives safely and effectively. |
| Medium | There are some control weaknesses but most key controls are in place and operating effectively. Some assurance can be given that the system, process or activity should achieve its objectives safely and effectively. |
| Low | Controls are in place but operating poorly or controls are inadequate, failing or not present to satisfaction. Only limited assurance can be given that the system, process or activity will achieve its objectives safely and effectively. |

Recommendation Priority Levels definitions:

| | |
|--------|---|
| High | Action is agreed for implementation within one month of the report date |
| Medium | Action is agreed for implementation within three months of the report date |
| Low | Action is agreed for implementation within twelve months of the report date |

Agenda Item No 10

Resources Board

6 June 2011

Report of the Assistant Director (Finance and Human Resources)

Members' Allowances Out-turn for 2010/11

1 Summary

- 1.1 The purpose of this report is to advise Members of the allowances paid for 2010/11. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

Recommendation to the Board

That the report be noted.

2 Report

2.1 Out-turn for 2010/11

- 2.1.1 The cost of Members' Allowances paid in 2010/11 was £240,473. A breakdown of these costs is shown at Appendix A. There were no claims in respect of Dependents'/ Carers' Allowance.

3 Report Implications

3.1 Finance and Value for Money Implications

- 3.1.1 Provision was made in the cost of Democratic Processes.

3.2 Legal and Human Rights Implications

- 3.2.1 The Authority is obliged to publish details of the total sum paid to each Member in respect of each of the following:-

Basic Allowance
Special Responsibility Allowance
Dependents'/Carers' Allowance
Travel and Subsistence and
Co-optees' Allowance.

- 3.2.2 This is a requirement under the Local Authorities (Members' Allowances) (England) Regulations 2003.

The Contact Officer for this report is Jackie Marshall| (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|----------------------------|---------------|-----------------------------------|-------------|
| | | | |

MEMBERS' ALLOWANCES PAID 2010/11

APPENDIX A

| Name | Initials | Basic Allowance £ | Special Responsibility £ | Travel £ | Subsistence £ | Total £ |
|---|----------|----------------------|-----------------------------|-----------------|------------------|-------------------|
| Bowden | J | 4941.96 | 1,745.04 | | | 6,687.00 |
| Butcher | D | 4941.96 | | 236.51 | | 5,178.47 |
| Davis | MC | 4941.96 | 1,745.04 | | | 6,687.00 |
| Dirveiks | LE | 4941.96 | | | | 4,941.96 |
| Dirveiks | N | 4941.96 | | | | 4,941.96 |
| Forward | A | 4941.96 | | | | 4,941.96 |
| Fowler | PJ | 4941.96 | | | | 4,941.96 |
| Fox | C | 4941.96 | 1,745.04 | 636.21 | | 7,323.21 |
| Freer | LE | 4941.96 | 1,745.04 | | | 6,687.00 |
| Gordon | DR | 4941.96 | | 143.00 | | 5,084.96 |
| Hayfield | CC | 4941.96 | 10,986.96 | 779.35 | 36.20 | 16,744.47 |
| Jenkins | RM | 4941.96 | | | | 4,941.96 |
| Johnston | K | 4941.96 | 1,745.04 | 65.61 | 31.55 | 6,784.16 |
| Lea | J | 4941.96 | 1,745.04 | | | 6,687.00 |
| Lewis | A | 4941.96 | | 28.76 | 210.30 | 5,181.02 |
| May | MC | 4941.96 | 4,983.00 | 380.26 | | 10,305.22 |
| Moore | JS | 4941.96 | 1,745.04 | 311.35 | 7.40 | 7,005.75 |
| Morson | PF | 4941.96 | | | 7.15 | 4,949.11 |
| Moss | BP | 4941.96 | | 1,186.73 | 16.26 | 6,144.95 |
| Moss | MC | 4941.96 | | 246.47 | | 5,188.43 |
| Orton *** | S | | 293.04 | | | 293.04 |
| Payne | RV | 4941.96 | 1,745.04 | 559.65 | 7.15 | 7,253.80 |
| Phillips | H | 4941.96 | 4,656.96 | 1,000.08 | 12.70 | 10,611.70 |
| Pickard | DN | 4941.96 | | | | 4,941.96 |
| Sherratt | GJ | 4941.96 | 1,745.04 | 666.25 | 7.15 | 7,360.40 |
| Simpson | MC | 4941.96 | 4,983.00 | | | 9,924.96 |
| Smith | LJ | 4941.96 | 4,983.00 | 2,826.07 | 116.73 | 12,867.76 |
| Smitten | WC | 4941.96 | 1,745.04 | | | 6,687.00 |
| Stanley | ME | 4941.96 | | | | 4,941.96 |
| Stanley | Y | 4941.96 | | | | 4,941.96 |
| Swann | ST | 4941.96 | 4,983.00 | 443.69 | 78.50 | 10,447.15 |
| Sweet | R | 4941.96 | 1,745.04 | | | 6,687.00 |
| Welby | T | 4941.96 | | | | 4,941.96 |
| Winter | JG | 4941.96 | | 298.69 | 299.22 | 5,539.87 |
| Wykes | TV | 4941.96 | 1,745.04 | 55.89 | | 6,742.89 |
| Zgraja | H | 4941.96 | | | | 4,941.96 |
| TOTAL | | 172,968.60 | 56,809.44 | 9,864.57 | 830.31 | 240,472.92 |
| *** Chairman of Standards Committee (not an elected Member) -Co-optee Allowance | | | | | | |

Agenda Item No 11

Resources Board

6 June 2011

**Report of the
Assistant Director (Finance & Human
Resources)**

**Collection Progress for Sundry
Debts 2010/11 and Prompt
Payment of Creditor Invoices, LPI 8**

1 Summary

- 1.1 The purpose of this report is to advise Members of the collection progress for Sundry Debts in 2010/11 and to highlight the performance of LPI 8, Prompt Payment of Creditor Invoices.

Recommendation to the Board

That Members consider the performance as set out in the report.

2 Report

2.1 Sundry Debt Collection

- 2.1.1 Sundry invoices are raised by the Finance and Human Resources Division for debts other than Council Tax and Non-Domestic Rates. They cover a wide range of services, such as Trade Refuse, Cesspool Emptying, Works in Default, certain Leisure services and Housing Repairs. The majority of these debts are not statutory, which increases the difficulty in collection.

- 2.1.2 Payment of Sundry Debts is taken by various means: - cheque, bank standing order, credit and debit cards and by direct debit wherever it is appropriate. Direct debit rules do not allow payment by this means unless the service is of an on-going nature, such as industrial and shop rents, trade refuse and cesspool emptying, where it is used very successfully.

2.2 Sundry Debt Collection Performance 2010/11

- 2.2.1 Invoices to the value of £2.15million were raised during 2010/11, with a collection rate in the year of 89%. The amount of debt written off in the year was £5,828, which equates to 0.27 % of the debt raised. This compares to £2.537million raised in 2009/10, 95.8% collected and £10,645 written off (0.4%). The lower collection rate is due mainly to large service charges to Housing leaseholders for improvements to their properties, Bid Levy invoices which are collected on behalf of the occupants of the Hams Hall Trading Estate and which have remained unpaid, as the improvement work on the estate has not yet been commissioned, and also invoices raised late in the year. If the BID and late invoices are excluded, the collection rate would be 94.91%.

2.3 Prompt Payment of Creditor Invoices, LPI 8

2.3.1 Payment of Creditor invoices is also one of the responsibilities of this Division.

2.3.2 During the year 10,212 invoices were paid. This resulted in approximately 5,850 payments with 83 % being paid by BACS.

2.3.3 For a number of years, the prompt payment of Creditor invoices was a BVPI. The indicator was defined as the percentage of invoices for commercial goods and services which were paid by the Authority within 30 days of the receipt of the invoice. Although no longer a BVPI, prompt payment of invoices is viewed as important by this Authority and the performance is therefore still measured as a local performance indicator. During 2010/11 the Authority achieved 98.23%, which equals last year's high performance.

2.3.4 During the year, some work has been done to try to reduce the number of actual payments being made, where suppliers send an individual invoice for each property being serviced. This trend will be continued where it results in savings in administration.

3 Report Implications

3.1 Finance and Value for Money Implications

3.1.1 Efficient collection of Sundry Debts will have a positive impact, resulting in maximising daily cash flow. This allows either interest to be earned from short term investments or alternatively reduces the need to borrow.

3.1.2 The cumulative amount written off in 2010/11 was £5,828. The loss of income has been written back to the individual services.

3.2 Environment and Sustainability Implications

3.2.1 Prompt payment of Creditor invoices assists suppliers in maintaining their cash flow in the current difficult economic climate.

3.3 Links to Council's Priorities

3.3.1 Efficient invoice processing contributes towards making best use of our resources.

The Contact Officer for this report is Jackie Marshall (719379).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|---------------------|--------|----------------------------|------|
| | | | |

Agenda Item No 12

Resources Board

6 June 2011

**Report of the
Assistant Director
(Finance and Human Resources)**

**Review of Existing Human
Resource Policies**

1 Summary

- 1.1 This report reviews and updates a number of existing policies. The policies have been consulted on with senior managers and the trade unions.

Recommendation to the Board:

- a To adopt the revised Training and Development Policy;**
- b To adopt the revised Dignity at Work Policy;**
- c To adopt the revised Grievance Policy; and**
- d To adopt the revised Job Share Policy.**

2 Introduction

- 2.1 Human Resources policies are reviewed periodically to ensure that they remain up to date and incorporate any changes in legislation. A number of policies have been reviewed and are included in this report. They have all been updated, although none of the changes are major.

3 Training and Development

- 3.1 The Council's policy on Training and Development has developed over time and as a result has previously been held within a number of documents. In reviewing the existing policies, the opportunity has been taken to consolidate and streamline previous policies into one policy document.
- 3.2 The Council considers its workforce as an asset as well as a cost and believes that it should invest in that asset. It aims to provide all employees with the training and development required to enable them to fully undertake their duties and responsibilities, thereby enabling the Authority to achieve its own aims and priorities. The policy looks to ensure that both the quality and quantity of training and development is relevant and fit for purpose and that where possible adequate and appropriate resources are provided.
- 3.3 There are no significant changes in the policy, which continues to place emphasis on staff development. The opportunity has been taken to place some emphasis on coaching and succession planning. The policy can be found at Appendix A.
- ...

4 **Dignity at Work**

- 4.1 The Dignity at Work Policy reflects the belief that individuals have a right to a working environment in which the dignity of individuals is respected. It covers bullying and harassment in the workplace and in any work-related setting outside the workplace. The Policy covers all established, temporary and casual employees, all secondments and modern apprenticeships, all job applicants and elected Members.
- 4.2 Harassment and bullying can have very serious consequences for both individuals and the Council. Employees found guilty of harassment or bullying may face disciplinary penalties, up to and including dismissal, could be personally liable to pay compensation in legal claims, and may find their own family and social relationships are adversely affected. Serious harassment may be a criminal offence. If the Council does not take appropriate action in cases of bullying and harassment, it will have to manage difficult employee relations, which are time consuming, costly and likely to impact on service provision. In addition, it could face serious financial costs, if individual cases go to tribunal.
- 4.3 The Dignity at Work Policy and Procedure was originally written in 2004. The policy has strong links with the Council's Equal Opportunities Policy and the Employee Code of Conduct. It provides a framework to deal with employee complaints of bullying and/or harassment. It has now been reviewed to take account of The Equality Act 2010.
- 4.4 The main change to this policy and the associated procedures is to ensure that the informal part of the procedure is followed before escalating cases to the formal process. This should ensure that issues are resolved earlier than they have been previously. The policy can be found at Appendix B
- ...

5 **Grievance**

- 5.1 The Grievance Policy and Procedure provides a framework within which employees can raise their concerns relating to their work. This can relate to the allocation of work, their working environment or conditions, the opportunities that they have been given for career development or the way in which they have been managed. Issues that are the subject of an agreement between the national employers and the trade unions or where there has been consultation with the local trade unions will not be considered under the grievance procedure. However the application of policies may be the subject of individual grievance.
- 5.2 The Grievance Policy and Procedure was last reviewed in 2007. The updated Policy is designed to take account of the Statutory Dispute Resolutions, in which the Government changed the way we deal with problems at work. The subsequent "Acas Code of Practice on Disciplinary and Grievance Procedures, November 2009," and its accompanying guidance, have also been used.

5.3 The Acas Code is brief in its handling of grievance issues, but emphasises the importance of seeking an informal resolution of the grievance, followed, if necessary, by the holding of a grievance meeting with a right of appeal. The code also emphasises the importance of respecting the right to be accompanied. The Code makes it clear that, where the line manager is the subject of a grievance, the grievance should, where possible, be dealt with in the first instance by a different manager. Compliance with the code is not a legal requirement, although breach of its provisions may be taken into account by any tribunal considering a claim where the code is relevant.

... 5.3 The updated policy is attached at Appendix C. The main change is the emphasis on the importance of dealing with problems informally in the first instance. However where attempts to resolve the matter informally do not work, it may be appropriate to raise a formal grievance under this procedure.

6 **Job Share**

6.1 As part of its commitment towards flexible working, the Council has encouraged managers to consider the flexible working opportunities that can be offered through formal job share arrangements. The Council is committed to develop, maintain and support equal opportunities in employment within the organisation. It actively supports job sharing where it is reasonable and practical to do so and where operational needs will not be adversely affected.

6.2 The Council has a legal responsibility to make every effort to accommodate requests for part time working following maternity leave but it is also good employment practice. The opportunity to job share is open to men and women alike and at all levels.

6.3 Job Share is not the same as part time. It is where a full time job is shared by two people. The position is held jointly and is conditional upon the offer of employment being accepted by both the job share partners. It requires each partner to be able to cover for the other, when necessary. The policy explains how the sharing arrangement works and the terms and conditions that apply to the job sharers.

... 6.4 The Job Share Policy was originally written in 2001 and the updated policy is attached at Appendix D. The updated policy is a consolidation of the policy and custom and practice over the years that it has been in operation. It also clarifies some areas of the old policy in particular when one job share partner is absent or has resigned.

3 **Report Implications**

3.1 **Financial Implications**

3.1.1 The Council will be able to claim reimbursement of training costs when appropriate.

3.2 Human Resources Implications

3.2.1 As detailed in the report.

3.3 Risk Management Implications

3.3.1 Keeping policies updated ensures they comply with any statutory requirements, and meet the requirements of the authority.

3.4 Equalities Implications

3.4.1 As attached at Appendix E

3.5 Links to Council's Priorities

3.5.1 The use of this policy will reduce the risk of inconsistencies and will contribute to the Council's priority relating to the effective use of resources.

The Contact Officer for this report is Janis McCulloch (719236).

Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

| Background Paper No | Author | Nature of Background Paper | Date |
|---------------------|--------|----------------------------|------|
| | | | |

Training and Development Policy Reviewed March 2011



North Warwickshire
Borough Council

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1. Introduction

This Training and Development Policy is a set of guidelines and requirements reflecting the Council's values and culture. It is based on a set of principles to which the Council adheres in the overall management and development of its workforce. This will enable both managers and employees to understand the philosophy and overall approach taken by the Council to investing in its workforce. This Policy has been developed in line with North Warwickshire Borough Council's overall vision and strategy and reflects a belief in the need to develop all employees, whether employed on a full-time or part-time basis.

2. Aims of the policy

To provide all employees with the training and development required to enable them to fully undertake their duties and responsibilities, thereby enabling the Authority to achieve its own aims and priorities.

1. To recognise that a balance must be struck between business needs and helping staff develop to their full potential;
2. To demonstrate to managers and employees that decisions on who receives training and development and the reasons for this allocation are made in an open and transparent way;
3. To emphasise that training and development opportunities are open equally to all staff members, including part-time and fixed-term employees; and
4. To have a clear policy on training and development that enables any auditing or benchmarking of activities, as they relate to the provision of training and development, to be undertaken in a straightforward way.

3. Principles of the Policy

1. The Council thinks of its workforce as an asset as well as a cost, and believes that it should invest in that asset;
2. The Council believes that all its employees have the potential to grow, both in their work role and personally, and it shall endeavour to provide opportunities for this growth;
3. The Council considers it appropriate to base such training and development opportunities on the requirements of the business, and decisions about investment in staff training and development will be made accordingly;
4. The Council wants to ensure that access to training is equitable;
5. The Council believes that responsibility for training and development should be shared between the Council and its workforce;
6. The Council will ensure that appropriate procedures are in place to plan, deliver and evaluate training and development activity;
7. The Council wants to empower its staff to take ownership of their own development, with support from their managers and the Council as a whole;
8. The Council believes that its line managers have a key role to play in people development;

9. The Council works within recognised good practice guidelines, such as the national standard of Investors in People, to ensure that both the quality and quantity of training and development is relevant and "fit for purpose"; and
10. The Council regularly reviews its overall level of investment in staff training and development to ensure that where possible adequate and appropriate resources are provided.

4. Training and Development Initiatives

The Council provides a range of training and development opportunities to staff. These fall into four broad categories:

1. **Programmes relating to the enhancement of skills for an employee's role.** These include internal and external courses providing technical training, for example on the use of software packages, and specialist training relating to the skills that employees require for their job.
2. **Programmes leading to a professional or academic qualification that are relevant to an employee's role.** The Council encourages employees who wish to do so to pursue continuous professional development and where appropriate to gain further qualifications. The Council will approve courses of study such as the Higher National Certificate, professional accountancy qualifications, and membership of a professional body.
3. **Programmes that have a specific management or supervisory focus.** These include internal and external courses on management development, supervisory skills for line managers, and leadership development programmes.
4. **Health and safety training.** This includes, but is not limited to, courses in manual handling, risk assessment, fire awareness and first aid.

Training may be delivered to meet future needs (succession planning) which are linked to organisational goals, performance, workforce planning and personal development. When talent is identified through the appraisal process development may be required in the employee's current role, potential to expand the current role or the potential to develop into a more senior role. Development plans may comprise coaching, secondments, project management and participation in professional programmes such as future leaders or a recognised qualification.

Decisions on the suitability and applicability of programmes will be determined through the appraisal process, during which individual training and development needs are identified. These are prioritised and delivered on a needs basis.

5. Roles and Responsibilities for Implementation

Both line managers and employees have a responsibility to implement training and development initiatives. There will be an opportunity to discuss development needs through the appraisal process and agree appropriate courses of training or study. Line managers should encourage their staff to undertake relevant programmes. Employees are expected to take up the opportunities provided and report back to their line manager on their applicability once completed.

Line managers have a responsibility to monitor and evaluate the effectiveness of learning for employees who have undergone training and development. Line managers should where it isn't service specific contact HR to give feedback on training programmes, including their quality and cost effectiveness. e.g. courses on

supervision, leadership, time management etc. Line managers should ensure that employees implement the skills that they have gained through training.

It is the line managers' responsibility to ensure that the training agreement is signed before financial assistance or day release is authorised. It is the line manager's responsibility to instigate the recovery of monies in line with section 7.3 of this policy.

6. Planning and Implementing New Initiatives

Any new training initiatives will be planned as a result of training needs which are identified through the Council's appraisal process. In addition, the Council is committed to reviewing training initiatives so that relevant training and development is provided for skills in specific job areas, where work procedures have changed, or where new standards are introduced. Any new training and development programmes offered to staff will be publicised and administered by the Council's HR team. These programmes will be approved by Management Team and included in the annual Corporate Training and Development Plan.

7. Individual Requests for Training and Development

Employees can request training and development at any time but this will usually be done within the appraisal process, as outlined above. Employees should channel requests through their line manager.

Training that leads to a recognised qualification where the career chances of someone attending a course are considerably enhanced and some short courses that have a high cost associated with them i.e. courses that exceed £1,000 will require the employee to sign a training agreement. This agreement must be signed before the Council commits to the course.

7.1 These courses should be:

1. Relevant to the job or business needs of the Division;
2. Of an acceptable level for the individual;
3. Recognised through the appraisal process / recruitment process;
4. Authorised through the training needs analysis for the Corporate Training and Development Plan; and
5. It can also be contractual in that they are an essential criterion in the person specification for the job or that it was agreed at recruitment as part of the employee's package.

7.2 Assistance provided by the Council:

1. Paid study time up to a maximum of 7.4 hours per week up to a full academic year. This will be dependent upon the requirements and level of the course and will be agreed by the HR Officer and the Assistant Director before the study begins. This would include day release, computer based learning, tutorials for distance learning. Where distance learning requires block release e.g. several 1 week blocks, paid leave would be given to the maximum above.
2. Paid leave relevant to the length and time of the examinations/assessments plus where applicable travelling time to and from the exam (that in excess of a normal days home to office return journey).
3. Paid leave for exam revision: 1 day per exam.
4. Paid leave relevant to the length and time of an exam re-sit if approved by the HR Officer and the Assistant Director.
5. Required text books approved by the HR Officer can be purchased through the Council's procurement process.

6. Travel and subsistence as detailed in the Council's travel and subsistence policy. Where the employee uses public transport, standard class rail and bus fares will be reimbursed.
7. Where travel is one off long distance, and public transport is used, rail tickets must be purchased as much in advance as possible through the Council's procurement process.**
8. Where an overnight stay is required accommodation must be approved and booked through the Council's procurement process. **
9. Any reasonable sums, after approval by the HR Officer and the Assistant Director, in respect of additional expenditure which falls on the employee as a result of attendance at an approved course.

** The forms are on the intranet and can be located at procurement **

7.3 Liability for Refund of Financial Assistance

Members of staff will commit to the liability to refund financial assistance received when they sign the training agreement (see page 9 of this document), in the event of one or more of the following circumstances:

1. Leaves the Council's employ (except for health or redundancy) within two years of completing the course/qualification or during studying for the course/qualification;
 2. Fails to attend the course regularly;
 3. Fails to submit assignments on time regularly;
 4. Where a member of staff, without good cause, fails to sit for an examination within a reasonable period or fails to show satisfactory progress in his/her studies or discontinues his/her course;
 5. Is dismissed from a course; or
 6. Unreasonably fails to qualify despite appropriate support being given through the Improved Performance Support Policy.
7. Leaves the course voluntarily

Each case will be assessed by HR and the Assistant Director to determine whether the liability is a full or part refund.

The line manager is responsible for ensuring that the agreement is signed by the appropriate employee and forwarded to HR for retention on the employee's file before the employee starts his/her course.

8. Monitoring and Evaluating Investment in Training and Development

The Council firmly believes that it is critical to the success of both the planning and delivery of training and development activities that the resources invested are monitored and the outcomes achieved are measured. Such outcomes may be demonstrated at an individual, departmental and corporate level. Senior managers have an important role to play in this process. The Council uses its evaluation findings for future business planning and the planning of continued investment in staff training and development.

9. Coaching and Mentoring

The Council encourages line managers to provide coaching and mentoring support for staff who are undergoing training and development. Managers have a responsibility to ensure that the skills and knowledge of more experienced staff members are shared with more junior employees to ensure that learning occurs in a planned way.

The Council also recognises that there are huge benefits to the individual and the organisation from having a coach. Where it is identified that coaching is an appropriate way for the individual to develop and subject to availability of budget, then coaching will be delivered via the West Midlands Coaching Pool.

10. Recording of Training and Development Activities

Following an appraisal the line manager enters the training required, its priority and cost on to the divisional training plan template. This information is collated annually to form the basis of the Council's training and development plan. On completion of any internal course the employee will complete a course evaluation form. Analysis of the evaluation forms gathered will be undertaken by HR and used within the overall evaluation of training and development.

11. Equal Opportunities

Decisions relating to training and development will be made fairly and consistently, and equality of opportunity will be provided for all staff in this area.

12. Induction Training

All new members of staff [and all those changing job role] will receive an induction on their job role. The Council provides full programmes of general induction training, which are set out in the induction process.

13. Related Documents

Equal Opportunities Policy
Induction Process
Improved Performance Support Policy
Training Agreement
Travel and Subsistence Policy

14. Monitoring and Review

The provisions of this Policy will be subject to regular review and as required by changes in legislation and guidance. The first review will be in August 2013 when the next review date will be set. The Human Resource Section will monitor the Policy.

15. Communication and Training

The provisions of this Policy and any updates will be communicated to all employees of the Council.

TRAINING AGREEMENT

I agree with the conditions as laid down in the Training and Development Policy, and I understand that these are in accordance with the National Conditions of Service relating to the Post Entry Training of Local Government Officers.

I have read and understood the Conditions under which financial assistance is given.

I agree that in the event of me voluntarily leaving the Council's employ or being dismissed within two years of completing a course of study (for reason other than health or redundancy), I will refund any financial assistance given by the Council in full or in part (dependant on management's decision), *and agree* that the outstanding monies can be deducted from my final month's salary. If this constitutes a large proportion of my salary or exceeds the salary this will not be possible and I will agree a repayment plan with the Council.

I agree that I will refund any financial assistance given by the Council in full or in part (dependant on management's decision), if I have voluntarily left a course, been dismissed from a course or failed to pass any examinations in accordance with Liability for Refund of Assistance (Section 6.3) of the Training Policy, *and agree* that the outstanding monies can be deducted from the next month's salary following my leaving the course. (see above)

Signed _____

Print Name _____

Date _____

NB. This form must be signed before authorisation can be given for Financial Assistance or Day Release.

Dignity at Work Policy & Procedure

Reviewed March 2011



North Warwickshire
Borough Council

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1. Our Commitment

North Warwickshire Borough Council believes that its employees have a right to a working environment in which the dignity of individuals is respected. The Council is committed to providing a safe and healthy workplace for its employees through its health and safety policy and the equitable treatment of employees through its equal opportunity policy by seeking to promote equal treatment for all employees and potential employees, irrespective of any protected characteristic. The Council will not tolerate discrimination, harassment, bullying or violence by or against any employee or Member.

Harassment and bullying can have very serious consequences for individuals and the Council. Employees found guilty of harassment or bullying may face disciplinary penalties, up to and including dismissal, could be personally liable to pay compensation in legal claims, and may find their own family and social relationships are adversely affected. Serious harassment may be a criminal offence.

2. The Scope of This Policy

This policy covers all established, temporary and casual employees, all secondments and modern apprenticeships, all job applicants and elected Members. The policy covers bullying and harassment in the workplace and in any work-related setting outside the workplace.

Employees are reminded that they should not say or do anything at a work-related social event that could offend, intimidate, embarrass or upset any other person, whether as a joke or not, nor should they behave in any way that could bring the Council into disrepute.

3. What is Bullying and Harassment?

3.1 Bullying is offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power which is meant to undermine, humiliate or injure the person on the receiving end.

3.2 Harassment is 'unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual'

Harassment applies to all protected characteristics except for pregnancy and maternity and marriage and civil partnership. This includes behaviour that an employee finds offensive even if it is not directed at them, and the complainant need not possess the relevant characteristic themselves. Employees are also protected from harassment because of perception and association.

Harassment by a third party

This is when employees are harassed by people (third parties) who are not employees of the organisation. Eg customers. This type of harassment should be reported to the line manager, so that they can take reasonable steps to prevent it happening again.

3.3 Conduct may be harassment whether or not the person behaving in that way intends to offend. Something intended as a "joke" may offend another person. Different people find different things acceptable. Everyone has the right to decide what behaviour is acceptable to him or her and to have his or her feelings respected by others. Behaviour which any reasonable person would realise would be likely to offend will be harassment without the recipient having to make it clear in advance that behaviour of that type is not acceptable to him or her, eg sexual touching. It may not be so clear in advance that some other forms of behaviour would be unwelcome to, or could offend, a particular person, eg certain "banter", flirting or asking someone for a private drink after work. In these cases, first-time conduct which unintentionally causes offence will not be harassment but it will become harassment if the conduct continues after the recipient has made it clear that such behaviour is unacceptable to him or her.

3.4 Bullying and harassment is misconduct and is a disciplinary offence which will be dealt with under the Council's Disciplinary Policy and Procedure at stage 3. Bullying or harassment will often be gross misconduct which can lead to dismissal without notice.

3.5 Some bullying or harassment will constitute unlawful discrimination, eg if it relates to a person's sex, race, religion or belief, sexual orientation or disability. Harassment on the grounds of age is also unlawful. Serious bullying or harassment may amount to other civil or criminal offences, eg civil or criminal offences under the Protection from Harassment Act 1996 and criminal offences of assault. A person guilty could be liable on summary conviction to imprisonment for a term not exceeding six months and/or a fine.

4. Examples of Bullying and Harassment

4.1 Bullying and harassment may be misconduct which is physical, verbal or non-verbal, eg by letter or e-mail (so-called "flame-mail").

Examples of unacceptable behaviour that are covered by this policy include (but are not limited to) the following:

- physical conduct ranging from unwelcome touching to serious assault;
- unwelcome sexual advances;
- demeaning comments about a person's appearance;
- unwelcome jokes or comments of a sexual or racial nature or about an individual's age;
- questions about a person's sex life;

- unwanted nicknames related to a person's age, race or disability;
- the use of obscene gestures;
- the open display of pictures or objects with sexual or racial overtones, even if not directed at any particular person, eg magazines, calendars or pin-ups;
- spreading malicious rumours or insulting someone;
- picking on someone or setting him or her up to fail;
- ridiculing someone; and
- isolation or non-cooperation at work.

4.2 The Council wishes to encourage employees who consider they have been subjected to workplace or work related bullying and harassment to use the procedures set out in this policy. The Council, with the full co-operation of Unions, is committed to doing all that it can to prevent or remove unwarranted and unacceptable conduct.

5. Management and Employee Responsibilities

5.1 Management Responsibility

- set a good example by their own behaviour;
- ensure that there is a supportive working environment;
- make sure that staff know what standards of behaviour are expected of them;
- intervene to stop bullying or harassment; and
- report promptly to HR any complaint of bullying or harassment, or any incident of bullying or harassment witnessed by them.

5.2 Employee Responsibility

- being aware of how your own behaviour may affect others and changing it, if necessary - you can still cause offence even if you are "only joking";
- treating your colleagues with dignity and respect;
- taking a stand if you think inappropriate jokes or comments are being made;
- making it clear to others when you find their behaviour unacceptable, unless it should be obvious in advance that this would be the case;
- intervening, if possible, to stop harassment or bullying and giving support to recipients;

- making it clear that you find harassment and bullying unacceptable;
- reporting harassment or bullying to your manager or HR and supporting the Council in the investigation of complaints; and
- if a complaint of harassment or bullying is made, not prejudging or victimising the complainant or alleged harasser.

6. What Happens to an Employee Accused of Bullying and/or Harassment?

6.1 If someone approaches an employee informally about his/her behaviour, the employee must not dismiss the complaint out of hand because they were only joking or think the complainant is being too sensitive. Remember that different people find different things acceptable and everyone has the right to decide what behaviour is acceptable to him or her and to have his or her feelings respected by others. He/she may have offended someone without intending to. If that is the case, the person concerned may be content with an explanation and an apology from them and an assurance that they will be careful in future not to behave in a way that they now know may cause offence. Provided that they do not repeat the behaviour which has caused offence, it will be the end of the matter.

6.2 If a formal complaint is made about an employee's behaviour, this will be fully investigated and the Council may bring disciplinary proceedings, if appropriate. The Council will follow its Disciplinary Policy and Procedure and the employee being accused will have the rights set out in the Disciplinary Policy and Procedure. They will have the right to be informed of the allegations against them and to put their side of the story and to be accompanied to meetings. The employee can only be accompanied by a trade union representative or work colleague of their choice. If there is a case to answer, the Disciplinary Policy and Procedure will be implemented at stage three. Complaints of bullying and harassment heard at stage three will be allegations of gross misconduct which, if proved, could lead to summary dismissal ie. dismissal without notice.

6.3 The Council will treat complaints of bullying and harassment sensitively and maintain confidentiality to the maximum extent possible. Investigation of allegations and future management of risk, if complaints are upheld, will normally require limited disclosure on a "need to know" basis but the importance of confidentiality will be emphasised to them.

6.4 Wherever possible, the Council will try to ensure that he/she and the complainant are not required to work together whilst the complaint is under investigation. If the allegation is of gross misconduct, they may be suspended on full pay during the investigation and, if a disciplinary hearing is to be called, until disciplinary proceedings have been concluded.

6.5 If the complaint against them is upheld, on a balance of probabilities, a disciplinary penalty may be imposed up to and including dismissal, having regard to the seriousness of the offence and all relevant circumstances including the strength of the evidence. If the complaint is upheld, but they are not dismissed, the Council could decide to transfer them to another post.

6.6 If the complaint against the employee is not upheld, the HR section will support them, the complainant and their manager(s) in making arrangements for them to continue or resume working and to help repair working relationships.

6.7 Some types of bullying or harassment may constitute unlawful discrimination and allegations may give rise to the possibility of other civil claims or criminal proceedings against the employee, which would proceed independently of the Council's disciplinary proceedings. As well as the Council being liable he/she could be personally liable to pay compensation to the complainant if a successful claim in the employment tribunal or other courts was brought against them. Criminal proceedings could lead to conviction and criminal penalties.

7. Procedure for Dealing with Bullying and/or Harassment

7.1 A Flow diagram of the procedure can be found at Appendix A.

7.1 Informally

The person may not know that his/her behaviour is unwelcome or upsetting. There needs to be an informal discussion to help him/her to understand the effects of his/her behaviour and agree to change it. The employee may feel able to approach the person themselves, or with the help of someone in Human Resources(HR), a manager, trade union representative or another employee. Alternatively, an initial approach could be made on the employee's behalf by one of these people. The employee should tell the person what behaviour of his/hers they find offensive and unwelcome, and say that they would like it to stop immediately. The date and what was said and done should be documented.

7.2 Formally

If an informal approach does not resolve matters, the employee can make a formal complaint. The complaint should be in writing to the employee's line manager. Where the complaint is about the line manager they should write to the line manager's manager. If the employee is uncertain as to who to write to, HR will advise and support them to bring their complaint.

8. Investigating the Complaint

8.1 HR will appoint an independent Nominated Officer and two independent Investigators. The independent Nominated Officer and the investigators could be from within the Division provided that they are not connected with the allegation in any way.

8.2 All investigation interviews will be recorded and the Investigators will produce a statement for each interviewee to amend/agree and sign (see template at Appendix B).

8.3 The investigation procedure can be found at Appendix C

9. False and Malicious Allegations of Bullying and/or Harassment

9.1 An employee should, obviously, not make a complaint of bullying and/or harassment against another unless this is justified. If a complaint that is made and acted on that is subsequently found, during the course of the investigation procedure, to have been made falsely or maliciously, then the Investigators, Nominated Officer and/or HR may recommend appropriate action regarding the complainant, depending on the circumstances.

9.2 Such action could include referring the complainant for counselling or training, permanent or temporary redeployment of the complainant or initiation of the Council's Disciplinary Policy and Procedure against the complainant. It must be emphasised that if the Disciplinary Policy and Procedure is initiated, then from that point on, the matter is to be dealt with strictly in accordance with the Council's Disciplinary Policy and Procedure applicable to the employee who has made the false or malicious complaint. There is no separate or "special" disciplinary procedure specifically for dealing with this matter.

10. Law Relating to This Document

Leading statutory authority

The Equality Act 2010

Health and Safety at Work etc Act 1974

Protection from Harassment Act 1997

Sex Discrimination Act 1975

Employment Equality (Age) Regulations 2006 (SI 2006/1031)

Management of Health and Safety at Work Regulations 1999 (SI 1999/3242)

11. Related Documents

- Protocol for Members and Officer
- Whistle Blowing policy
- Employee Code of Conduct
- Compliments and Complaints procedure
- Equal Opportunities procedure
- Disciplinary policy and procedure
- Grievance policy and procedure

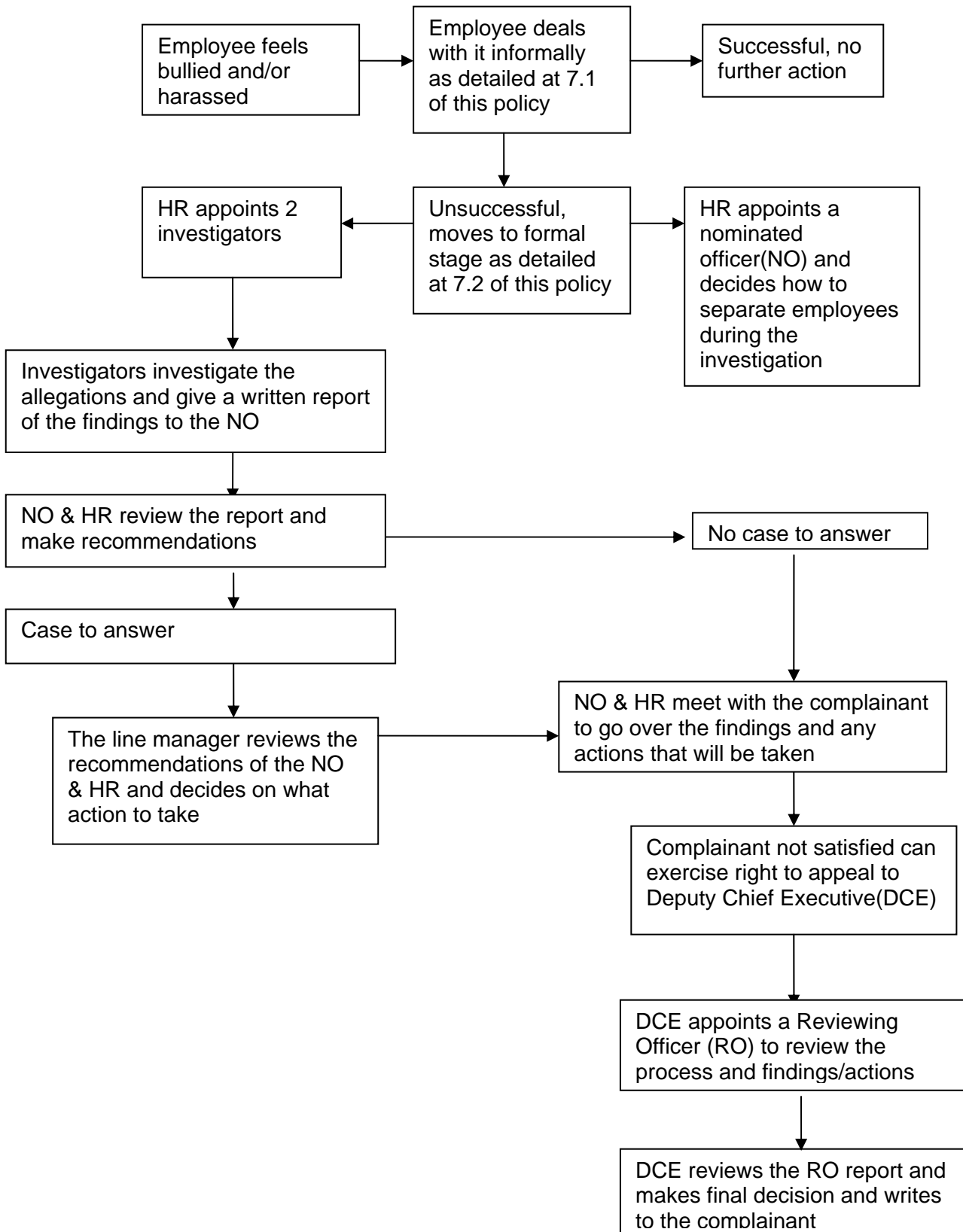
12. Monitoring and Review

The provisions of this policy will be subject to regular review and as required by changes in legislation and guidance. The first review will be in August 2013 when the next review date will be set. The Human Resource Section will monitor the policy.

13. Communication and Training

The provisions of this policy and any updates will be communicated to all employees of the Council.

PROCEDURE FOR DEALING WITH BULLYING AND HARASSMENT COMPLAINTS



Statement

Name Job Title
North Warwickshire Borough Council

Place of Interview:

Investigators:

This statement is true to the best of my knowledge and belief.

I agreed for the conversation to be taped and then typed up and for this statement to be written from the transcript of the tape. It was explained to me that my statement would go into the investigation report. If as a result of the investigation there was any kind of hearing the report including the statements will be part of the management's case and would be seen by the person under investigation as part of the Council's procedures in these matters.

Signed.....Date.....

Investigators:

Signed.....Date.....

Signed.....Date.....

I am the above named person and have been asked about {insert}

I agreed to maintain confidentiality by not discussing with colleagues.

Investigating the Complaint

1. The complainant must expect to be interviewed by the Investigators and give, in confidence, full details of the allegation. The statement will reflect the content of the interview but will not be a verbatim report. If the employee is dissatisfied with the statement, the reasons for the dissatisfaction shall be considered and, unless satisfactorily resolved, shall be separately recorded. Both the transcript of the interview and the statement will form part of the Investigators' report.
2. All interviewees may be accompanied at the interview, if they wish, by a trade union representative or a work colleague.
3. The Council reserves the right to suspend or temporarily redeploy either the employee suspected of bullying or harassment or the employee raising a complaint of bullying or harassment during the investigations, if it is considered in the interests of the individual(s) or the Council to do so. Suspension in these circumstances does not constitute disciplinary action and will be on full pay.
4. The employee against whom the complaint is made should be informed in writing by the Investigating Officers to attend an investigative interview (which may lead to the disciplinary procedure being invoked). A copy of this Dignity at Work policy must be attached to the letter requiring the employee to attend the interview. At least five working days notice will be given. If the employee does not give a suitable reason and fails to attend, the Investigators will arrange a second date. However, if the employee does not attend on the second date, without a good reason, the investigation will commence and a decision communicated to the employee.
5. The employee against whom the complaint is made is entitled to know the evidence which has given rise to the investigative interview. This should be supplied as soon as possible before the interview. The responsibility for issuing this information will rest with the Investigators. In some situations it may not be appropriate to release complete documents but an extract or summary may be sufficient.
6. The employee against whom the complaint is made, has the responsibility to copy documentation which they wish to introduce into the proceedings. This should be sent to the Investigators as soon as possible before the interview.
7. The Investigators will meet and interview individually all witnesses.
8. The Investigators may need to interview the complainant, witnesses, and the employee against whom the complaint is made more than

once if on reflection there are points from the interview(s) that are still unclear.

9. The Investigators will prepare a written report for the Nominated Officer, who will review the report with HR and decide whether there is a case to answer. Having reviewed the report they may recommend any one or more of the following options to the line manager of the employee against whom the complaint is made, depending on the circumstances:-
 - They may recommend taking no further action, perhaps because in their view the complaint cannot be substantiated or because the complainant is anxious that the matter ends there;
 - They may decide to recommend management action other than to initiate the Council's disciplinary procedure. This could include:
 - I. Setting up arrangements to monitor the situation.
 - II. Arranging training or counselling, where appropriate, for either the complainant or the alleged harasser, or both
 - III. Make arrangements for the complainant and alleged harasser to work as separately as possible within the same work place.
 - IV. A recommendation for redeployment of one or both parties, either on a temporary or permanent basis.
 - They may decide that there is a case to answer and recommend a disciplinary hearing.
11. The recommendations will be considered by the line manager who will make the decision on what action to take.
12. If, having considered the complaint, the line manager and HR decide that a disciplinary hearing is appropriate, then, from that point on, the matter will be dealt with strictly in accordance with the Council's Disciplinary Policy and Procedure applicable to the employee who is the subject of the complaint. There is no separate or "special" disciplinary procedure specifically for dealing with alleged bullying and harassment. Should disciplinary action ensue, then the employee concerned would have all the usual prescribed rights of representation and of appeal. Stage 3 of the Disciplinary Policy and Procedure should be invoked. HR would appoint an independent Chair for the disciplinary hearing
13. As soon as the outcome of the investigation is known the complainant will be informed. The Nominated Officer and HR should meet with the complainant to explain the outcome and answer any questions he/she may have. The details of the meeting should then be followed up in writing.
14. Should the complainant wish to appeal, the Deputy Chief Executive on receipt of the appeal letter will appoint a Reviewing Officer to review the report as to the actions taken during the investigation. This will involve assessing what evidence has been gathered, how it was subsequently

acted upon to ascertain whether the conclusions reached were fair and reasonable. The Reviewing Officer may or may not interview the complainant, the Investigators and/or any of the witnesses. The Deputy Chief Executive will communicate the decision to the complainant and the complainant's representative as quickly as possible and in any event within 15 working days of the complaint being referred, unless an extended period is agreed with the complainant. It must be emphasised that the Deputy Chief Executive will only consider the decision on the original complaint and the reviewing officer's report on the decision. Under no circumstances would the Deputy Chief Executive intervene in the formal disciplinary process itself, once this has been put in hand. Any decision of the Deputy Chief Executive under this part of the procedure will be final.

16. The investigation report will be kept for six years, in case the matter should proceed to further action in the Courts.
17. HR will support all parties during the process and where required following the process.

Grievance Policy & Procedure Reviewed February 2011



North Warwickshire
Borough Council

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1. Introduction

1.1 NWBC believes that all employees should be treated fairly and with respect. If you are unhappy about the treatment that you have received or about any aspect of your work, you should discuss this with your line manager, who will attempt to resolve the situation on an informal basis. If you feel unable to approach your line manager directly, you should approach HR, who will discuss ways of dealing with the matter with you. Where attempts to resolve the matter informally do not work, it may be appropriate for you to raise a formal grievance under this procedure. A flow diagram of the complete process can be found at Appendix A.

1.2 A formal grievance should be concerned with the way in which you have been treated by NWBC or managers acting on its behalf. If your complaint relates to bullying and/or harassment on the part of a colleague, the matter should be dealt with under the Dignity at Work Policy. Complaints that amount to an allegation of misconduct on the part of another employee will be investigated and dealt with under the Disciplinary Policy and Procedure and you will be informed if there is a case to answer. You will not be told the outcome of the disciplinary hearing.

1.3 Grievances may be concerned with a wide range of issues, including the allocation of work, your working environment or conditions, the opportunities that you have been given for career development or the way in which you have been managed. However, issues that are the subject of an agreement between the national employers and the trade unions or consultation with the local trade unions (JNF) will not be considered under the grievance procedure. Application of policies may be the subject of individual grievance.

1.4 This policy is designed to take account of the "Acas code of practice on disciplinary and grievance procedures, November 2009," and its accompanying guidance. The code is brief in its handling of grievance issues, but emphasises the importance of seeking an informal resolution of the grievance, followed, if necessary, by the holding of a grievance meeting with a right of appeal. The code also emphasises the importance of respecting the right to be accompanied. The code makes it clear that, where the line manager is the subject of a grievance, the grievance should, where possible, be dealt with in the first instance by a different manager. Compliance with the code is not a legal requirement, although breach of its provisions may be taken into account by any tribunal considering a claim where the code is relevant.

1.5 Complaints that you may have about any disciplinary action taken against you should be dealt with as an appeal under the Disciplinary Policy and Procedure.

1.6 Where an employee raises a grievance during a disciplinary process the disciplinary process may be temporarily suspended in order to deal with the grievance. Where the grievance and disciplinary cases are related it may be appropriate to deal with both issues concurrently.

2. Mediation

2.1 It may be appropriate for the matter to be dealt with by way of mediation, depending on the nature of your grievance. This involves the appointment of a third-party mediator, who will discuss the issues raised by your grievance with all of those involved and seek to facilitate a resolution. Mediation can be particularly useful to resolve disputes, rebuild relationships and improve communication between the parties. Mediation will be used only where all parties involved in the grievance agree. Mediation can be used at any time in the process

3. The Right to be Accompanied

3.1 You have the right to be accompanied by a fellow worker or trade union official at any grievance meeting informal or formal or any subsequent appeal and you are strongly advised to do so. The trade union official need not be an employee of NWBC, but if he/she is not a fellow worker or an employee of his/her union, NWBC may insist on him/her being certified by the union as being experienced or trained in accompanying employees at grievance meetings.

3.2 The choice of companion is a matter for you, but NWBC reserves the right to refuse to accept a companion whose presence would undermine the grievance process. Please note that individual workers are not obliged to agree to accompany you. Companions will be given appropriate paid time off to allow them to accompany colleagues at a grievance meeting or appeal hearing.

3.3 At any grievance meeting or appeal hearing, your chosen companion will be allowed to address the meeting/hearing, respond on your behalf to any view expressed in the meeting/hearing, and sum up the case on your behalf. However, both the grievance meeting and appeal hearing are essentially meetings between the employer and you, so any questions put directly to you should be dealt with by you and not your companion.

3.4 Where the chosen companion is unavailable on the day scheduled for the grievance meeting or appeal hearing, the meeting/hearing will be rescheduled, provided that you can propose an alternative time within five working days of the scheduled date.

4. Accessibility

4.1 If any aspect of the grievance procedure causes you difficulty on account of any disability that you may have, or if you need assistance, you should raise this issue with Human Resources (HR) who will make appropriate arrangements.

5. Conducting the Grievance Procedure

5.1 NWBC recognises that a formal grievance procedure can be a stressful and upsetting experience for all parties involved. Everyone involved in the process is entitled to be treated calmly and with respect. NWBC will not tolerate abusive or insulting behaviour from anyone taking part in or conducting grievance procedures and will treat any such behaviour as misconduct under the disciplinary procedure.

5.2. Informally

- Grievances are best dealt with at an early stage, informally, with the immediate line manager. Pursuing the formal route should be a last resort rather than the first option.
- To try and resolve it at the earliest possible opportunity the employee should approach their line manager and discuss the grievance. If the employee feels unable to approach the line manager they can contact HR who will be able to help. If the informal process is not successful the employee may decide to deal with the grievance formally.

5.3. Formally

5.3.1 Making the Complaint

5.3.2 The first stage of the formal grievance procedure is for the employee to put the complaint in writing. This written statement will form the basis of any investigations and any subsequent meeting, so it is important that the employee sets out clearly the nature of their grievance and indicates the outcome that they are seeking. If their grievance is unclear, they may be asked to clarify their complaint before any meeting takes place.

5.3.3 The complaint should be headed "Formal grievance" and sent to the employee's line manager (the Nominated Officer). If their complaint relates to the way in which their line manager is treating them, the complaint may be sent to the HR Manager who will appoint a Nominated Officer.

5.3.4 Further attempts may be made to resolve the matter informally, depending on the nature of the complaint. However, if the complainant is not satisfied with the outcome, they may insist on the matter proceeding to a full grievance meeting. Before proceeding to a full grievance meeting, it may be necessary to carry out investigations of any allegations made by the employee.

6. The Investigation

6.1 The Nominated Officer, usually the line manager, will consult with HR who will appoint the investigators. The investigators will record the interviews to ensure accuracy. Where the complaint is against the line manager, a Nominated Officer will be appointed, usually the line manager's manager.

6.2 While the employee will be given every opportunity to explain their grievance fully to the investigators, they should confine their explanation to matters that are directly relevant to their complaint. Focusing on irrelevant issues or incidents that took place long before the matter in hand is not helpful and can hinder the effective handling of the complaint. The investigator(s) will intervene if he/she thinks that the discussion is straying too far from the key issue. A statement will be prepared from the transcript of the recording for the employee to agree and sign certifying that the statement is an accurate account of what they have said. This will form part of the investigator(s) report and the employee will receive a copy of their signed statement.

6.3 The investigator(s) will investigate all the circumstances by gathering any relevant documentary evidence and interviewing appropriate witnesses. Statement(s) will be prepared from the transcript(s) of the recording(s) for the

witness(s) to agree and sign that the statement is an accurate account of what they have said. Prior to signing the statement a witness may request to meet with the investigators to raise any additional items that they omitted to raise at the interview(s). A copy of the statement will be kept as documentary evidence and the witness will also receive a copy.

6.4 Where the grievance is against another employee or the decision of another employee the investigators will interview the other employee as part of the investigation. This is the opportunity for the other employee to respond to the complaint and give their account of events, an explanation of their behaviour and/or offer any mitigating circumstances. A statement will be prepared from the transcript of the recording for the other employee to agree and sign certifying that the statement is an accurate account of what they have said. A copy of the statement will be kept as documentary evidence and the employee will also receive a copy.

6.5 Statements will reflect the content of the interviews but will not be a verbatim report. If the employee(s) is dissatisfied with their statement, the reasons for the dissatisfaction will be considered, and unless satisfactorily resolved, will be recorded. Both the transcripts of interviews and the statements will form part of the investigator(s)' report.

6.6 The investigator(s) will attempt to complete the investigation within a reasonable timeframe, depending on the nature and complexity of the complaint. The complainant will be kept informed of the progress and any reasons for delay. The investigator(s) will produce a report of their findings for the Nominated Officer. Once the Nominated Officer has received the report he/she will review this with HR.

6.7 As soon as the outcome of the investigation is known the Nominated Officer will inform the complainant. The Nominated Officer and HR will meet with the complainant to explain the outcome and answer any questions he/she may have. If it is appropriate a grievance meeting will be arranged.

7. The Grievance Meeting

7.1 The purpose of a grievance meeting will normally be to establish the facts about the employee's grievance and determine what (if any) action can reasonably be taken to resolve it. It is therefore appropriate that the person(s) that the grievance is against are present to enable solutions to be reached. Both the complainant and the respondent have the right to be accompanied by a fellow worker or trade union official of his/her choice and they are strongly advised to do so.

7.2 The meeting will be held within 5 days, or sooner if practicable, and subject to any need to carry out prior investigations. The complainant should ensure that they attend the meeting at the specified time. If they are unable to attend because of circumstances beyond their control, they should inform HR as soon as possible. If they fail to attend without explanation, or if it appears that they have not made

sufficient attempts to attend, the Chair may decide that the meeting takes place in their absence.

7.3 The meeting will be conducted by the Nominated Officer, usually the line manager and attended by an HR representative. The complainant will be asked to attend the meeting to explain the nature of their complaint and what action they feel should be taken to resolve the matter. The investigating officers will present their findings.

7.4 A grievance meeting is not the same as a disciplinary hearing, and is “an occasion when discussion and dialogue may lead to an amicable solution”. For the format of a grievance meeting see Appendix B.

7.5 Following the meeting, the complainant will be informed in writing of the outcome within five working days. The letter will state specifically anything that was agreed and/or any action that NWBC proposes to take as a result of their complaint. The complainant may discuss this outcome informally with either their manager or HR. If they are dissatisfied with the outcome, they may make a formal appeal. If it is decided that any individual concerned with the grievance has a case to answer and it is being progressed through the disciplinary procedure the complainant will be told this. The complainant will not be told the outcome of the disciplinary hearing.

8. Appeal

8.1 The Right of Appeal

8.1.1 It is your right to appeal against the findings of the investigation and/or the outcome of the grievance meeting about your complaint. You are strongly advised to have a suitable representative in attendance.

8.1.2 If you wish to exercise your right of appeal, the notice of appeal should be sent to the Human Resources Manager. You should clearly state the grounds of your appeal, ie the basis on which you say that the result of the grievance was wrong or that the action taken as a result was inappropriate. This should be done within ten working days of the written notification of the findings/outcome of the grievance. An appeal hearing will be arranged to take place as soon as is practicable following the submission of your formal appeal.

8.1.3 If you are unable to attend the appeal hearing due to ill health or circumstances beyond your control, you should inform HR of this as soon as possible. The Council will rearrange the hearing within a further 2 weeks. If you fail to attend without explanation, or if it appears that you have not made sufficient attempts to attend, the hearing may take place in your absence.

8.1.4 The appeal hearing will be conducted by the Appeals Sub-group and consists of the Chairman and Vice Chairman of the Resources Board, together with any two other Members of Resources Board, who will consider the grounds that you have put forward and assess whether or not the conclusion reached in the original grievance meeting was appropriate. The appeal is not a rehearing of the original grievance, but rather a consideration of the specific areas with which you are dissatisfied in relation to the original grievance. The Chair conducting the appeal may therefore confine discussion to those specific areas rather than reconsider the whole matter afresh. For the appeals procedure see Appendix C.

9. Law Relating to This Document

Leading Statutory Authority

Employment Rights Act 1996

Employment Relations Act 1999

Employment Act 2008

Employment Act 2008 (Commencement No.1, Transitional Provisions and Savings)

Order 2008 (SI 2008/3232)

Acas code of practice on disciplinary and grievance procedures (on the Acas website)

Discipline and grievances at work: the Acas guide (PDF format, 352K) (on the Acas website)

10. Related Documents

Dignity at Work Policy

Disciplinary Policy and Procedure

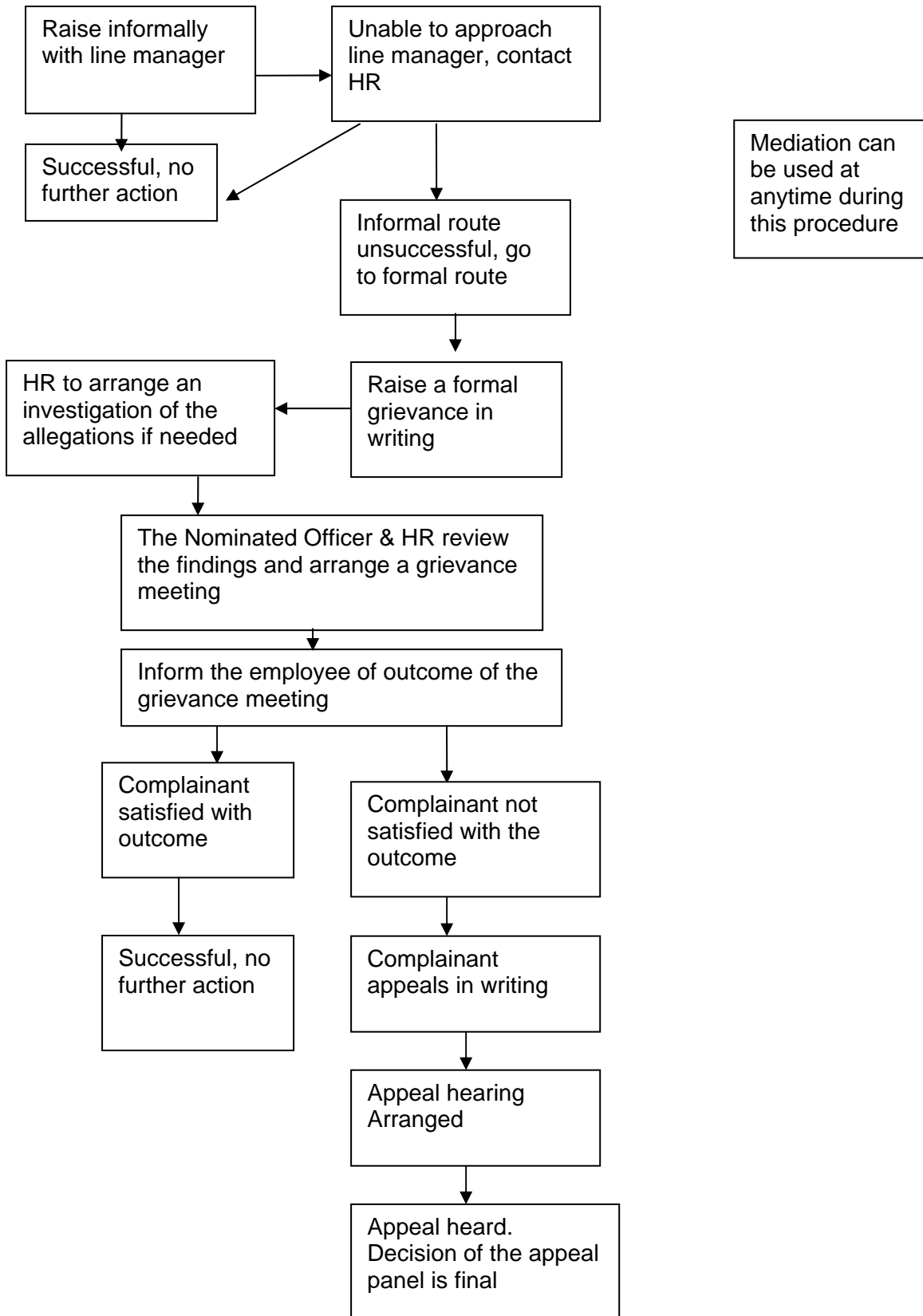
11. Monitoring and Review

The provisions of this policy will be subject to regular review and as required by changes in legislation and guidance. The first review will be in August 2013 when the next review date will be set. The Human Resource Section will monitor the policy.

12. Communication and Training

The provisions of this policy and any updates will be communicated to all employees of the Council.

Grievance Procedure



The Grievance Meeting

The format of any formal grievance meeting will be as follows:

1. The person leading the meeting (the Chair), will introduce the meeting, and explain its purpose and how it will be conducted.
2. Both parties will be entitled to be accompanied at the meeting, if they wish, by a fellow worker or trade union official of their choice.
3. Where either party is not accompanied the Chair will check that they agree to proceed unaccompanied.
4. The parties present at the meeting will introduce themselves and confirm their respective roles in the meeting.
5. The Chair will state that the meeting is being conducted as part of the organisation's grievance procedure and confirm that a record of the meeting is being made.
6. The Chair will invite the complainant to state his/her case, ie the circumstances that have led to the grievance, the nature of the grievance and why he/she feels aggrieved. The complainant may do this personally, or their representative (if he/she has elected to be represented) may do this on his/her behalf.
7. The complainant will refer to any documentation on which he/she is seeking to rely.
8. The person(s) responding to the complaint (the respondent(s) will be present to give their account of events, an explanation of their behaviour and/or offer any mitigating circumstances.
9. The investigators will present their findings.
10. The Chair will refer to any written evidence that has been gathered in the course of any investigation that has taken place, including the consideration of witness statements where appropriate. The Chair may ask the complainant, the respondent(s) and any witnesses questions about the circumstances of the grievance in order to establish all the relevant facts, background and surrounding circumstances.
11. The Chair has the right to ask the employees personally to answer such questions, although the employees may on request confer with their representative at any time during the grievance meeting.
12. Once all the evidence has been heard, the Chair will sum up the key points of the meeting including any agreements between the parties.
13. The Chair will inform the employee, if appropriate, of when a decision will be made about what, if any, action will be taken to resolve or otherwise deal with the grievance and any future monitoring that has been agreed.

14. The Chair will inform the complainant that he/she will have the right to appeal against the outcome of the grievance meeting if he/she is not satisfied with it.
15. The Chair will confirm the outcome and the right to appeal to the complainant in writing
16. On the application of any party or on their own motion, at any point during the meeting, the Chair may adjourn the proceedings if it appears necessary or desirable to do so, including for the purpose of gathering further information or investigating any allegations made.

Appeals Procedure

1. The employee shall be given notice in writing at least five working days in advance of the time and place of the appeal hearing. The employee should be advised of the importance of representation. The employee should also be informed of their right to call witnesses and produce documents relevant to their case at the hearing.
2. The officer presenting the management case, the Chair of the grievance meeting, shall put his/her case in the presence of the employee and his/her representative and may call witnesses.
3. The employee (or their representative) shall have the opportunity to ask questions of the officer presenting the management case on the evidence given by them and/or witness whom they may call.
4. The Sub-group may ask questions of the officer presenting the management case and witnesses.
5. The employee (or their representative) shall put their case in the presence of the officer presenting the management case and shall call such witnesses as they wish.
6. The officer presenting the management case shall have the opportunity to ask questions of the employee and their witnesses.
7. The Sub-group may ask questions of the employee and their witnesses.
8. The officer presenting the management case and the employee (or their representative) shall have an opportunity to sum up their cases if they so wish.
9. The officer presenting the management case and the employee and their representative and witnesses will then withdraw.
10. The Sub-group will deliberate in private, only recalling the officer presenting the management case and the employee to clear points of uncertainty on the evidence already given. If recall is necessary, both parties are to return, notwithstanding that only one may be concerned with the point giving rise to doubt.
11. The Sub-group will announce the decision to the parties verbally at the hearing and confirm this in writing, or in writing, as may be determined, not more than five working days after the hearing. The outcome is final.

Job Share Policy

Reviewed March 2011



North Warwickshire
Borough Council

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1. Introduction

NWBC as part of its commitment towards flexible working encourages managers to consider the flexible working opportunities that can be offered through formal job share arrangements.

The Council confirms its commitment to develop, maintain and support equal opportunities in employment within the organisation. It will actively support job sharing where it is reasonable and practical to do so and where operational needs will not be adversely affected. No employee should receive less favourable treatment or be disadvantaged by conditions or requirements which are not justified by the job.

Requests to job share must be given full and fair consideration. We have a legal responsibility to make every effort to accommodate requests for part time working following maternity leave but it is also good employment practice. The opportunity to job share is open to men and women alike and at all levels. When managers receive a request to job share they should contact HR for advice.

Where there is doubt as to whether “job share” will work a trial period of six months can be agreed to ensure the arrangement meets the needs of all concerned.

If a request to job share is refused the manager should give their reasons for the refusal in writing.

2. Definition of Job Share

A job share is defined as where 2 people are employed to share the duties and responsibilities of one full-time position on an hourly, daily or weekly basis, and the salary and leave is allocated on a pro-rata basis. The position is held jointly and is conditional upon the offer of employment being accepted by both the job share partners. It requires each partner to be able to cover for the other, when necessary. Job Sharing is not part-time work. Part-time work is when the duties can be carried out in less than a full working week.

Where one Job Sharer is on annual leave there will be no expectations of management in the normal course of events, for the other job sharer to cover the vacant hours. However, if one job sharer is absent from work for any significant period of time or part of the post becomes vacant for any reason the remaining job share partner will be required to cover the remaining hours of the full-time post.

Where the job share partner is absent, eg. long-term sickness or maternity leave and the length of absence is known, it may be more reasonable and practical to advertise for a temporary part-time employee to cover the absent partner’s hours. In the event of NWBC being able to backfill for the temporary absence, the remaining job share partner will be required to cover the remaining hours of the full-time post.

Job-sharing means the sharing of desks, telephones, computers and all other facilities provided. In addition, there should be no requirement for additional staff either in a supervisory or support capacity as a result of a post being shared.

3. Sharing Arrangements

Job-sharing may be permitted in any practicable way, which satisfies operational requirements, e.g. Shared day, shared week, alternate week (normally mid-week to mid-week) or alternate day. This is not an exhaustive list but merely outlines a few examples.

The way in which the actual hours of a job share position are divided between the job share partners should be decided by the manager/supervisor in consultation with the job share partners, taking into account the following:

1. the needs of the service, section and/or department;
2. the desirability of building in a handover period or liaison time (the total hours worked by the job share partners should not exceed the normal full-time hours of the post);
and
3. communication: between the job share partners, between the job share partners and their manager(s), between the job share partners and their colleagues and between the job share partners and their customers, the need to ensure consistency of approach.

Extra effort must be made to ensure effective communication and continuity of work between job sharers to avoid confusion from customers who have to deal with two separate people.

The line manager must agree the methods of communications to be adopted, but communication between job-sharers on a day-to-day basis must be worked out between the job-sharers themselves.

On establishing a job-shared post overlap time may be required to provide a smooth transition from one job-sharer to another. This overlap time will be subject to the agreement of the line manager and will normally be compensated for by time off in lieu.

Guidance on job share arrangements can be sought from the HR section when a position becomes vacant, or when a request to job share is received from an existing full-time employee.

4. Terms and Conditions of Job Share Positions

A position is offered jointly to the job share partners. The offer to one candidate of the job share partnership is conditional upon the other candidate of the job share partnership accepting it.

The contract of employment will state clearly the conditions of the job share agreement. All benefits such as leave, lease car etc will be pro rata to the hours worked.

5. Statutory and Concessionary Holidays

All Statutory and Public Holidays are shared on a pro-rata basis e.g. if there are 12 Statutory and Concessionary Holidays per year, and the working hours are shared equally between the two Job Sharers, each Sharer will be entitled to 6 of these holidays. ie. 6×7.4 Hours = 44.4 hours per annum

Ideally, in cases where Sharers work 2.5 days per week and there are two public holidays, i.e. Monday and Tuesday in the same week, then the Sharers will share the remaining 3 days of the week between them, so that in effect they will both work 1.5 days for that week, and will both have the benefit of having 1 day's Bank Holiday. However, where this is not practicable for one or more of the job sharers then their Bank and Concessionary entitlement would be drawn down when required.

6. Resignation

If one job share partner leaves and the remaining job share partner does not want to work full-time, the following procedure should be followed:

1. An assessment of the needs of the organisation should be carried out to ascertain whether full-time coverage is required.
2. The vacant half of the job share position should be advertised to a maximum of 2 occasions.
3. The remaining job share partner should use any available contacts to assist in finding a partner.
4. If a suitable job share partner cannot be found, the remaining job share partner would go onto the redeployment list for 3 months to try to find alternative work.
5. If all the above has been carried out and it is still not possible to either find a replacement job share partner or find the remaining job share partner a suitable alternative position, the contract of the remaining partner will be terminated.