

A meeting of the **EMPLOYMENT PANEL** will be held in the **CIVIC SUITE 0.1A, PATHFINDER HOUSE, ST MARY'S STREET, HUNTINGDON, PE29 3TN** on **WEDNESDAY, 3 FEBRUARY 2016** at **7:00 PM** and you are requested to attend for the transaction of the following business:-

A G E N D A

		Contact
APOLOGIES		
1. MINUTES (Pages 5 - 8)		A Roberts 388015
To approve as a correct record the Minutes of the meeting held on 18th November 2015.		
2. MEMBERS' INTERESTS		
To receive from Members declarations, as to disclosable pecuniary and other interests in relation to any Agenda Item.		
3. STAFF COUNCIL		C Davidson 387801
At the request of Staff Council representatives to consider a range of issues.		
4. WORKFORCE INFORMATION REPORT (QUARTER 3) (Pages 9 - 18)		D Buckridge 388065
To consider an update on HR matters impacting on the performance of the organisation.		
5. LGSS QUARTERLY PERFORMANCE AND MONITORING REPORT (QUARTER 3) (Pages 19 - 30)		D Buckridge 388065
To consider a report providing an overview of the service delivered by Local Government Shared Services for the period October to December 2015 in respect of Human Resource and Payroll Services.		
6. EMPLOYMENT MATTERS WITHIN SECTIONS		A Dobbyne 388100
To discuss with the Heads of Community Services and of Operations employment matters within their sections of the Council.		
7. WORKFORCE DEVELOPMENT STRATEGY ON A PAGE (Pages 31 - 38)		A Dobbyne 388100
To consider a report by the Corporate Team Manager on the Workforce Strategy on a Page.		
8. PAY POLICY STATEMENT 2016/17 (Pages 39 - 46)		A Marsh 388482
To consider and comment on the Council's Pay Policy Statement for		

2016/17.

9. EMPLOYEE SURVEY - ACTION PLAN (Pages 47 - 54)

D Buckridge
388065

To consider a report by the Policy, Performance and Transformation Manager on progress of the Employee Opinion Survey action plan.

10. GRIEVANCE POLICY AND PROCEDURE (Pages 55 - 64)

A Marsh
388482

To consider and comment on a revised Grievance Policy and procedure.

11. DISCIPLINARY POLICY AND PROCEDURE (Pages 65 - 82)

To consider and comment on a revised Grievance and Disciplinary Policy and procedure.

Dated this 26 day of January 2016



Head of Paid Service

Notes

1. Disclosable Pecuniary Interests

(1) *Members are required to declare any disclosable pecuniary interests and unless you have obtained dispensation, cannot discuss or vote on the matter at the meeting and must also leave the room whilst the matter is being debated or voted on.*

(2) *A Member has a disclosable pecuniary interest if it -*

(a) relates to you, or

(b) is an interest of -

(i) your spouse or civil partner; or

(ii) a person with whom you are living as husband and wife; or

(iii) a person with whom you are living as if you were civil partners

and you are aware that the other person has the interest.

(3) *Disclosable pecuniary interests includes -*

(a) any employment or profession carried out for profit or gain;

(b) any financial benefit received by the Member in respect of expenses incurred carrying out his or her duties as a Member (except from the Council);

(c) any current contracts with the Council;

(d) any beneficial interest in land/property within the Council's area;

(e) any licence for a month or longer to occupy land in the Council's area;

(f) any tenancy where the Council is landlord and the Member (or person in (2)(b) above) has a beneficial interest; or

(g) a beneficial interest (above the specified level) in the shares of any body which has a place of business or land in the Council's area.

Non-Statutory Disclosable Interests

(4) *If a Member has a non-statutory disclosable interest then you are required to declare that interest, but may remain to discuss and vote providing you do not breach the overall Nolan principles.*

(5) *A Member has a non-statutory disclosable interest where -*

- (a) a decision in relation to the business being considered might reasonably be regarded as affecting the well-being or financial standing of you or a member of your family or a person with whom you have a close association to a greater extent than it would affect the majority of the council tax payers, rate payers or inhabitants of the ward or electoral area for which you have been elected or otherwise of the authority's administrative area, or
- (b) it relates to or is likely to affect a disclosable pecuniary interest, but in respect of a member of your family (other than specified in (2)(b) above) or a person with whom you have a close association, or
- (c) it relates to or is likely to affect any body –
- (i) exercising functions of a public nature; or
 - (ii) directed to charitable purposes; or
 - (iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union) of which you are a Member or in a position of control or management.

and that interest is not a disclosable pecuniary interest.

2. Filming, Photography and Recording at Council Meetings

The District Council supports the principles of openness and transparency in its decision making and permits filming, recording and the taking of photographs at its meetings that are open to the public. It also welcomes the use of social networking and micro-blogging websites (such as Twitter and Facebook) to communicate with people about what is happening at meetings. Arrangements for these activities should operate in accordance with guidelines agreed by the Council and available via the following link [filming, photography and recording at council meetings.pdf](#) or on request from the Democratic Services Team. The Council understands that some members of the public attending its meetings may not wish to be filmed. The Chairman of the meeting will facilitate this preference by ensuring that any such request not to be recorded is respected.

Please contact Anthony Roberts, Democratic Services Team, Tel No. 01480 388169/e-mail Anthony.Roberts@huntingdonshire.gov.uk if you have a general query on any Agenda Item, wish to tender your apologies for absence from the meeting, or would like information on any decision taken by the Committee/Panel.

Specific enquiries with regard to items on the Agenda should be directed towards the Contact Officer.

Members of the public are welcome to attend this meeting as observers except during consideration of confidential or exempt items of business.

Agenda and enclosures can be viewed on the District Council's website – www.huntingdonshire.gov.uk (under Councils and Democracy).

If you would like a translation of Agenda/Minutes/Reports or would like a large text version or an audio version please contact the Elections & Democratic Services Manager and we will try to accommodate your needs.

Emergency Procedure

In the event of the fire alarm being sounded and on the instruction of the Meeting Administrator, all attendees are requested to vacate the building via the closest emergency exit.

HUNTINGDONSHIRE DISTRICT COUNCIL

MINUTES of the meeting of the EMPLOYMENT PANEL held in Civic Suite, Pathfinder House, St Mary's Street, Huntingdon, PE29 3TN on Wednesday, 18 November 2015.

PRESENT: Councillor J W Davies – Chairman.
Councillors Mrs A D Curtis, Mrs L A Duffy, T Hayward, R J West and J E White.

APOLOGIES: Apologies for absence from the meeting were submitted on behalf of Councillors J D Ablewhite and S Cawley..

21. MINUTES

The Minutes of the meeting of the Panel held on 23rd September 2015 were approved as a correct record and signed by the Chairman.

22. MEMBERS' INTERESTS

No declarations of interests were received.

23. STAFF COUNCIL

The Chairman of Staff Council informed the Panel that Staff Council had no specific issues to raise but would comment on Agenda items as and when they were raised by the Panel.

24. WORKFORCE INFORMATION REPORT (QUARTER 2)

The Panel received a report (a copy of which is appended in the Minute Book) on Human Resource matters impacting on the performance of the organisation during the period 1st July to 30th September 2015. The report included the latest position and trends relating to:

- employee numbers
- salary costs; and
- sickness absence reporting

Members were informed that the workforce headcount had decreased slightly since the last quarter as staff within Building Control and Legal had transferred to Cambridge City Council.

Discussion took place on the increase by 367 days in the level of absences through sickness when compared to the previous quarter. The Panel was informed that although overall sickness absences had increased, the level of short term sickness had reduced. The increase was attributed to long term sickness. In response to questions it was reported that stress was the biggest cause of long term sickness followed by musculoskeletal problems.

The HR Manager informed the Panel that the Chartered Institute of Personnel and Development (CIPD) had established that the incidence of stress related sickness had risen across all the sectors. Stress within the public sector accounted for 79% of long term sickness absences compared to 34% within the Council. The CIPD put the causes of work related stress into four categories: workloads and volumes of work, non-work factors, pressure to meet targets and lack of support from managers.

In response to a question by a Member the Panel was informed that the Council encouraged employees to return to work by making reasonable adjustments for those on long term sickness absence. An example was provided of an employee within Operations could no longer drive a HGV for health reasons and the Council had modified his work and he was now able to resume working. The Panel was then informed that in Quarter 2, four out of 21 cases of sickness absence were caused by musculoskeletal problems. The injuries had been caused, or exacerbated, by work. Members were reminded that the definition of musculoskeletal injury extended to arthritic problems. HR liaised directly with Heads of Service regarding individual cases of long term sickness within their sections.

Following a request from Members, Staff Council updated the Panel on their experiences of long term sickness and stress within the workplace. Staff Council regularly met with the Managing Director to discuss these and other issues. The view was expressed that despite the restructuring that had taken place, employees continued to exhibit high levels of good will.

In response to a further question by a Member, Managing Director listed the benefits of working for the Council, which included the working environment, flexible working schemes, the absence of core hours, the leave entitlements, training opportunities, staff discounts at One Leisure, and childcare packages.

Finally, the Panel noted that short term sickness had decreased in all departments with the exception of the Corporate Management Team / Executive Support where there had been an increase. However, it was a small team and two employees had been absent though illness during the period reported on whereas there was no reported sickness in the previous quarter.

25. LGSS QUARTERLY PERFORMANCE AND MONITORING REPORT (QUARTER 2)

The Panel gave consideration to a joint report by the Corporate Team Manager, Programme and Project Manager and LGSS HR Manager (a copy of which is appended in the Minute Book) containing data on the performance of LGSS Human Resources, Payroll and Organisational Workforce Development services against the key service measures agreed under the current contract during the period 1st July to 30th September 2015. LGSS' performance was measured in four areas, namely:

- General Service Standards
- HR Strategic and Advisory
- Recruitment and Payroll; and

- Organisational Workforce Development

Members were informed that the Council encouraged Officers to log issues to ensure they were addressed by LGSS. A number of policies would be coming to the Panel within the next six months as part of the process to rationalise policies across the Shared Service.

Following discussion on performance target PHT.02, Members requested a report on payment data accuracy.

The Panel was informed that LGSS provided the Council with 500 training places each year; however, these included 367 online accounts. It was not known how active the online accounts were. It was explained that new starters had to open online accounts to carry out mandatory training but afterwards some did not to use their accounts. The Council was now able to ascertain whether new starters had completed their mandatory training. Members welcomed the inclusion within the report of information on the courses attended by employees.

A Member asked whether employees who completed qualifications paid for by the Council were required to pay back the costs incurred if they did not remain employed by the Council for a defined period of time. In response the Managing Director stated that this had not previously been the case but that a clause to this effect was now part of new starters' contracts.

Chairman

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Workforce Report

Quarter Three 2015-16

This report looks at the workforce profile of Huntingdonshire District Council employees during the third Quarter of the financial year, 1 October 2015 – 31 December 2015.

The key findings from the workforce profile report are:

- Our workforce had a headcount of 604 and a FTE of 554.0 at 31 December 2015. The FTE has increased slightly since the previous Quarter where the headcount was 599 and FTE was 545.9. The increase is as a result of staff joining the Council through new shared service arrangements, with 34 new staff joining through the ICT shared service (31.7 FTE), compared to a combined reduction of 10 staff (8.2 FTE) transferring to Cambridge City Council as part of the Building Control and Legal shared services at the end of the previous Quarter. Excluding shared services staff, the headcount in the rest of the organization reduced by 15.3 FTEs compared to the total at 30 September 2015.
- The Monthly Salary Cost for Quarter Three was £1,532,542. This is an increase of approximately £43,000 compared to Quarter Two, reflecting the increased FTE number.
- The annual average sickness figure (over a rolling 12 month period) has increased to 11.1 days lost per FTE from the previously reported average of 10.7 days.
- The latest Quarterly sickness absence has increased by 354 days compared to the previous Quarter, meaning the average days lost per FTE is now 3.5 compared with 2.9.
- Musculoskeletal problems, including back and neck, was the highest cause for sickness absence in Quarter Three, followed by Asthma, chest, heart, cardiac.
- 34% of the workforce had at least one instance of sickness absence during Quarter Three, an increase when compared to the previous Quarter (30%).
- The number of days lost due to long-term sickness has increased compared to the previous Quarter. 72% of all sickness absence recorded in Quarter Three was long-term (continuous absence of 28 calendar days or longer).

Authors: Daniel Buckridge & Vicky Carton
Date: January 2016

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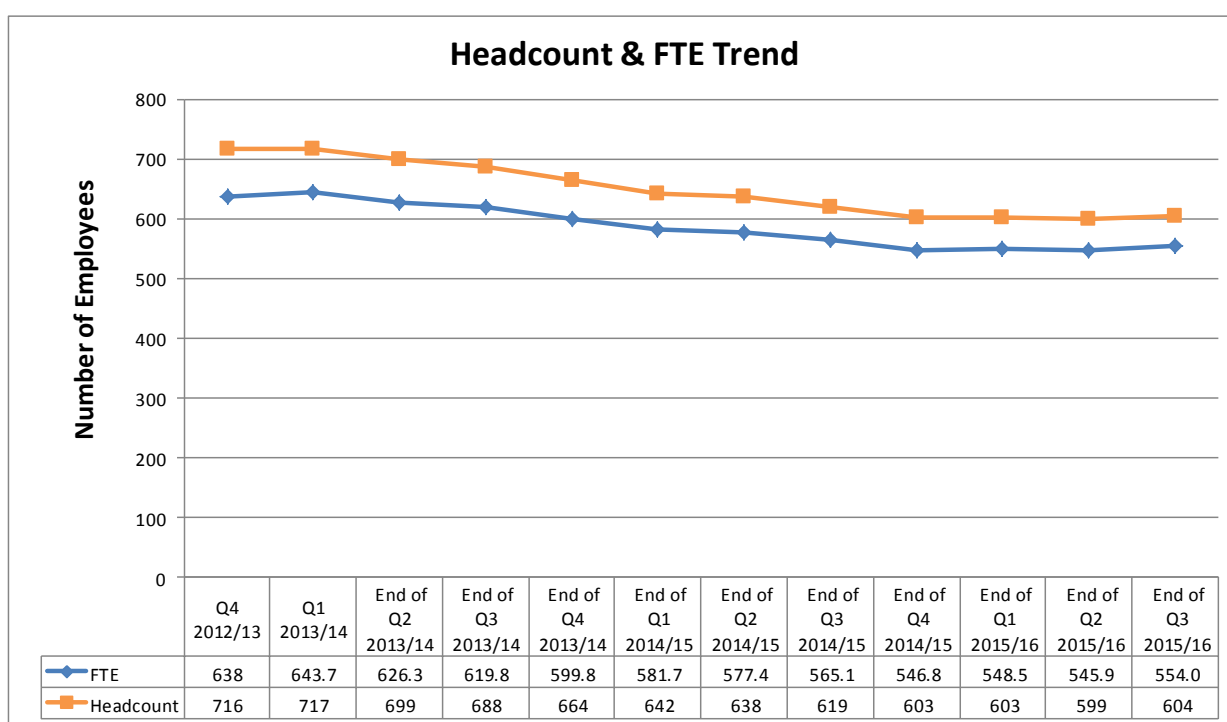
1.0 EMPLOYEE PROFILE

Definition: Headcount is the number of employees working within the Council, counting primary roles only.

A **full time equivalent** (referred to as FTE) is a measure of an employee's workload to make the position comparable across the workforce based on a 37 hour full-time working week. For example, an FTE of 0.5 indicates that the employee works half of a full-time working week (18.5 hours).

1.1 HEADCOUNT AND FTE

At the end of Quarter Three (December 2015), the total number of employees employed by Huntingdonshire District Council is 604 (excluding those employed on a variable and casual hours basis) with the number of full time equivalent posts at 554.0. There has been a small increase in FTE employees since the previous Quarter.



1.2 PAYBILL

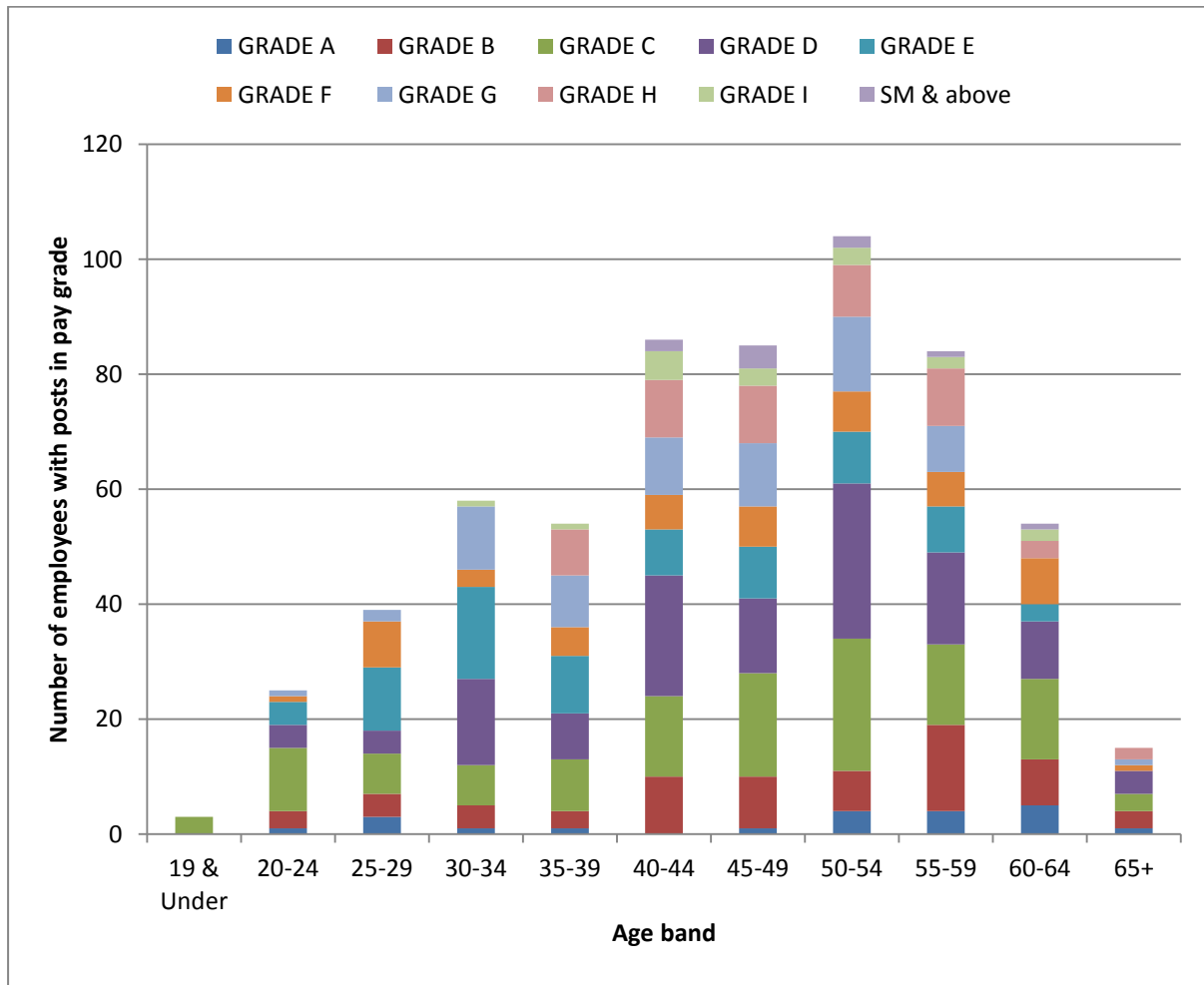
Huntingdonshire District Council's monthly salary cost for contracted full-time/part-time employees at the end of Q3 was £1,532,542. This includes the cost of National Insurance and Local Government Pension Scheme contributions as well as staff wages.

The table shows that the paybill has generally decreased every Quarter, following the reduction in FTEs, with three exceptions. The increase in monthly salary cost between Q4 2013/14 and Q1 2014/15 was as a result of the Pay Review, with new salaries starting from 1 April 2014 accompanied by a period of pay protection. There was a small increase in monthly salary cost at the end of Q1 2015/16 compared to the end of Q4 2014/15, reflecting the slight increase in staffing shown in section 1.1. The latest figures show an increase to the end of Q3 2015/16, mainly as a result of the overall increase in headcount following shared services transfers. Despite this increase, the total difference between monthly salary costs at the end of Q3 this year and the end of Q3 in 2013/14 is equivalent to an annual saving of approximately £1.5m.

Month	End of Q3 2013/14	End of Q4 2013/14	End of Q1 2014/15	End of Q2 2014/15	End of Q3 2014/15	End of Q4 2014/15	End of Q1 2015/16	End of Q2 2015/16	End of Q3 2015/16
Paybill	£1,656,005	£1,643,400	£1,685,109	£1,595,444	£1,569,996	£1,506,450	£1,510,418	£1,489,223	£1,532,542
Difference	-£20,979	-£12,605	+£41,709	-£89,666	-£25,448	-£63,546	+£3,968	-£21,195	+£43,319

1.3 WORKFORCE BY AGE AND PAY GRADE

The number of employees by 5-year age band is depicted below by pay grade. Please note that where an employee has two jobs on different grades they have been counted within their age band against both grades.



For the purposes of simplifying this graph, employees who have transferred into the Council on existing terms and conditions have been linked to Huntingdonshire District Council pay grades based on their current salaries.

1.4 HIGH EARNERS

Definition: High earners are classified as employees who are paid at £50,000 or above. This information is published in line with the Government's commitment to improve transparency across the public sector. Full details are to be published in the annual Pay Policy Statement.

At the end of Quarter Three 2015/16, 18 employees were paid at FTE salaries of £50,000 or above. The total number of employees classed as high earners has not changed since the end of last Quarter.

1.5 LEAVERS

During Quarter Three, 28 full-time/part-time employees on permanent or fixed-term contracts left the organisation. This is lower than in the previous Quarter (30 in Quarter 2 15/16). There were 20 voluntary resignations by employees on permanent contracts compared to 13 in the previous Quarter.

Leaving Reason	Department	Total
Compulsory Redundancy	Operations Division	3
Employee Dismissed due to misconduct	Operations Division	1
Vol Res - Better Reward Package	Development	1
Vol Res - Caring Responsibility	Operations Division	1
Vol Res - Health Reasons	Leisure and Health	1
	Customer Services	1
Vol Res - New Job Offer	Customer Services	4
	Corporate Team	2
	Countryside Services	1
	Operations Division	1
	Leisure and Health	2
	Development	1
Vol Res - Relocation	Leisure and Health	1
Vol Res - Work Life Balance	Corporate Team	1
	Leisure and Health	2
	Operations	1
Retirement	Customer Services	2
	Operations Division	1
	Leisure and Health	1
Grand Total		28

As shown above, four employees retired from the District Council's services during Quarter Three. Members are requested to place on record their recognition of and gratitude for the contributions made by these employees, who had a combined length of service of 44 years.

2.0 SICKNESS ABSENCE

Definition: Long term sickness is classified as a continuous period of absence of 28 or more calendar days. All other periods of absence are defined as short term.

The absence data is calculated per FTE as per the guidelines set out in the previous Best Value Performance Indicators (former statutory dataset) for sickness to account for adjustments in working hours.

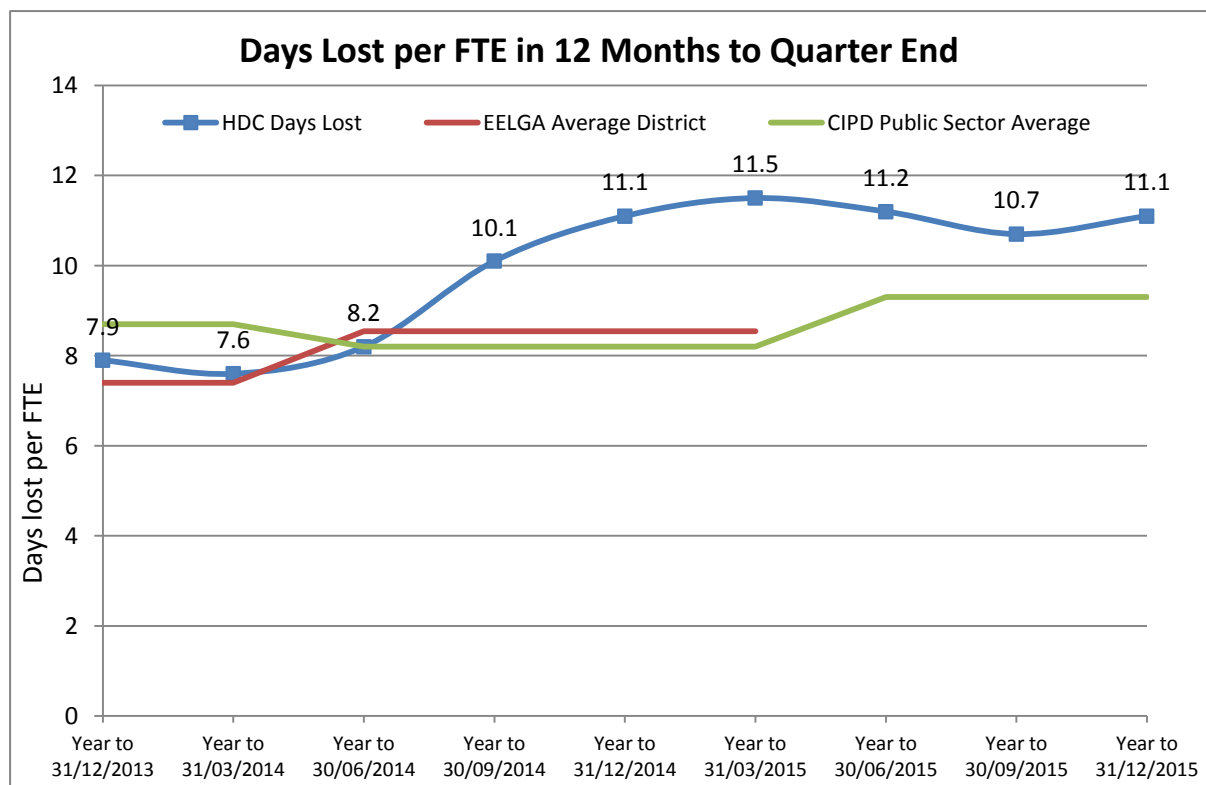
As a reminder, the trigger points under HDC policy for management action to commence are as follows:

- 3 or more periods of absence in a rolling 3 month period
- 10 working days or more in a rolling 12 month period
- Long term absence of 28 calendar days or more
- Pattern of absence (e.g. regular Friday and/or Monday; repeated absences linked to holidays)

2.1 TREND OF DAYS LOST ACROSS HDC OVER ROLLING 12 MONTH PERIODS

The graph shows the trend sickness absence per full-time equivalent (FTE) employee over a rolling 12 month period, calculated to the end of each Quarter since December 2013. It shows that sickness absence over the previous 12 months has increased to 11.1 days lost per FTE from the average of 10.7 days that was reported at the end of the previous Quarter. It is the same as at the same point in the previous year.

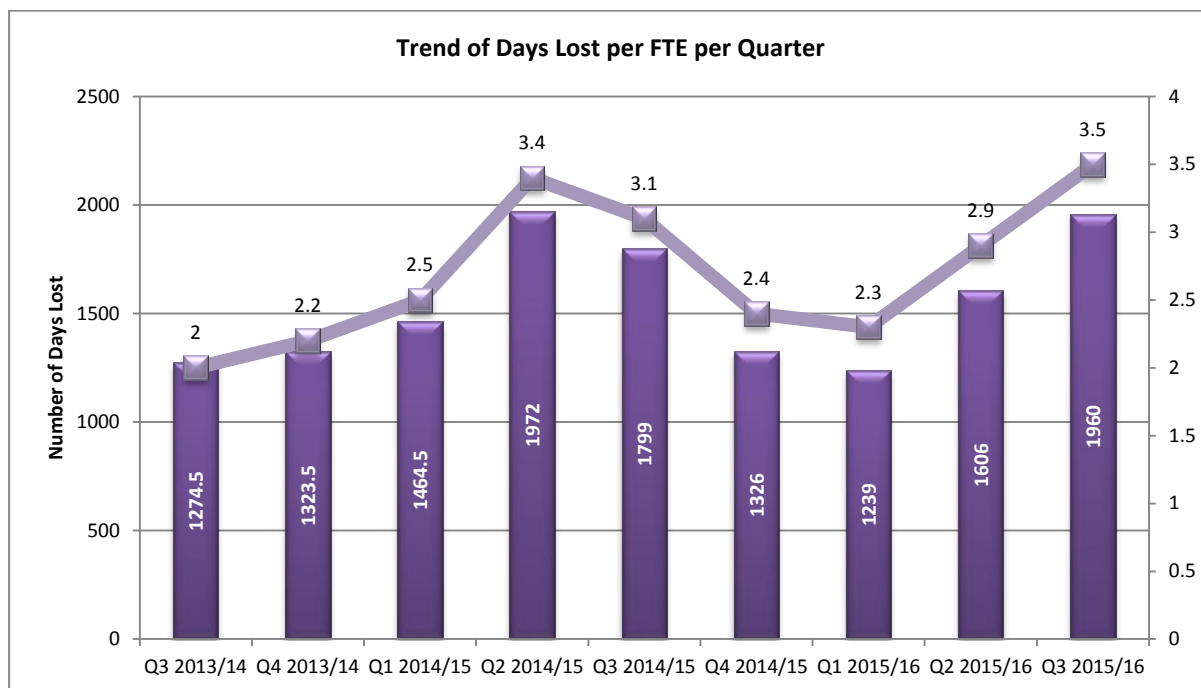
The East of England Local Government Association (EELGA) District average and the Chartered Institute of Personnel and Development (CIPD) Public Sector average are shown against the periods they apply to. Their figures are published annually so cannot be updated on a Quarterly basis.



The graph above shows that the rolling 12 month sickness level has increased (10.7 days per FTE to 11.1), with a significant increase in sickness during the latest Quarter as shown in the next section.

2.2 TREND OF DAYS LOST ACROSS HDC BY QUARTER

The following graph shows that both the days lost/FTE and the total days lost in Quarter Three were higher than in the previous Quarter. The latest figure of 3.5 days lost per FTE in the quarter is the highest absence rate ever recorded. This is mainly due to a very high level of long-term sickness, as shown in section 2.5.



The number of days lost in Quarter Three equates to the workload of just under 30 FTEs in the quarter.

2.3 REASONS FOR SICKNESS ABSENCE

Please see sickness reporting by category below:-

Sickness reason given:	October – December 2015		
	Employees	Days	%
3rd party accidents	0	0	0%
Anxiety, mental health & depression	9	160	8%
Asthma, chest, heart, cardiac	18	380	19%
Benign & malignant tumours or cancers	4	113	6%
Burns, poisoning, frostbite, hypothermia	2	45	2%
Cough, cold, flu, eye, ear, nose, throat	68	181	9%
Endocrine/glandular - diabetes, thyroid	4	28.5	1%
Gastro - abdominal pain, vomiting	61	157.5	8%
Genito urinary & gynaecological	12	56	3%
Headache, migraine, dental, oral	28	39.5	2%
Injury, fracture	7	150	8%
Musculoskeletal, including back & neck	25	404.5	21%
Pregnancy related	1	1	0%
Stress	10	244	12%

Compared to the same quarter in 2014, there has been an overall increase in sickness absence. Comparing the sickness reasons in Quarter Three 2014 and Quarter Three 2015, there have been relatively large increases in the 'Asthma, chest, heart, cardiac', 'Musculoskeletal, including back & neck' and 'stress' categories but relatively large decreases in the 'Anxiety, mental health & depression', 'Cough, cold, flu, eye, ear, nose, throat' and 'Injury, fracture' categories.

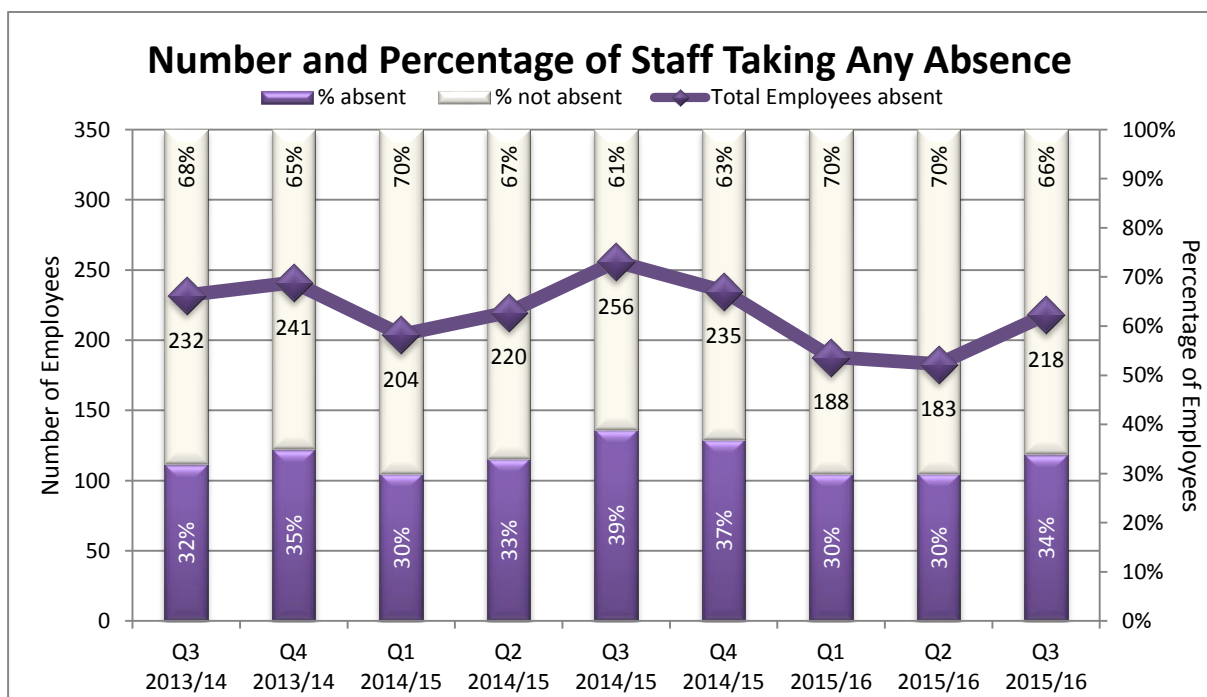
During Quarter Three, 10 people were absent due to 'Stress' for a total of 244 working days lost (83% of these were due to 'long-term' absences of 28 calendar days or more). Compared to Quarter Two, there has been a reduction in absence due to 'Stress' (in Quarter Two, 19 people were absent for a total of 319.5 working days).

9 people were absent due to 'Anxiety, mental health & depression' in Quarter Three for a total of 160 working days lost (92% of these working days lost were due to long-term absences). Compared to Quarter Two, there has been a reduction in absence due to 'Anxiety...' (in Quarter Two, 9 people were absent for a total of 192 working days).

Reason for Absence	No of Days Absence	% of Days Absence	No of People
Personal Reasons for stress	154	63%	5
Work Related Stress	85	35%	4
Work and Personal Reasons	5	2%	1
Total	244	100%	10

2.4 NUMBER OF EMPLOYEES TAKING ANY DAYS OF SICKNESS ABSENCE IN QUARTER

66% of employees did not have any sickness absence in the last Quarter, which is comparable with the same Quarter in previous years.



2.5 LONG-TERM SICKNESS ABSENCE BREAKDOWN

Quarter	Employees taking long-term sick leave	Total days of long-term sickness	% of total absence long-term
Q3 2013/14	16 (7% of those sick))	549	43%
Q4 2013/14	19 (8%)	620	47%
Q1 2014/15	28 (14%)	878	60%
Q2 2014/15	28 (13%)	1,186	60%
Q3 2014/15	28 (11%)	1,099	61%
Q4 2014/15	14 (6%)	607.5	46%
Q1 2015/16	17 (9%)	645	52%
Q2 2015/16	32 (17%)	1,124	70%
Q3 2015/16	29 (13%)	1,394	71%

The total number of days lost due to long-term sickness in Quarter Three was the highest number ever recorded, although slightly fewer individuals were absent with long-term sickness compared to Quarter Two.

2.6 SHORT/LONG-TERM SICKNESS ABSENCE REPORTING BY SERVICE

The tables below show figures for sickness absence by service during the latest Quarter, split between short and long-term absence. The tables include arrows showing the trend for total days sick.

The first table shows more days were lost due to short-term sickness in all services except the Corporate Team and Operations when compared to the previous Quarter.

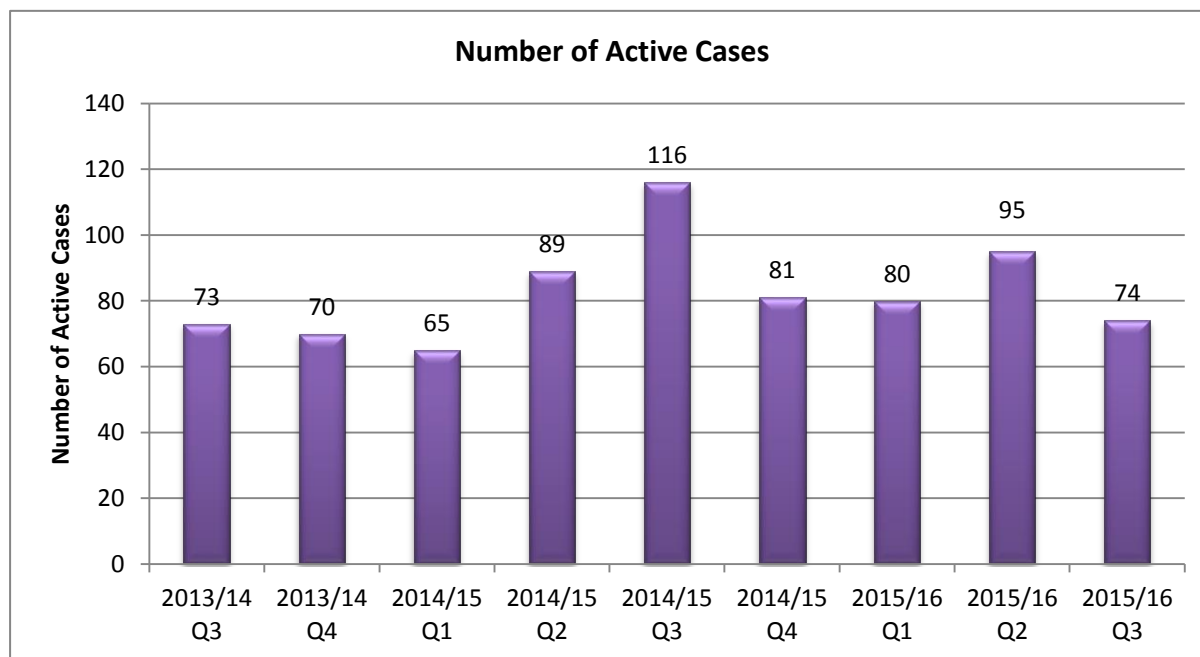
Service	Total days sick – short-term	Days Lost/FTE – short-term	Employees absent during Quarter due to short-term sickness
Resources	23.5 ↑	1.3	9 (41% of all in service)
Development	50 ↑	1.0	20 (37%)
CMT/Executive Support	6 -	1.0	2 (33%)
Customer Services	138.5 ↑	0.9	53 (31%)
Leisure and Health	121 ↑	1.2	37 (30%)
Community	33 ↑	0.8	14 (30%)
Operations	183 ↓	1.1	52 (28%)
Corporate Team	11 ↓	0.5	4 (15%)
OVERALL	557 ↑	1.0	191 (30% of all HDC employees)

Although the total number of days lost due to long-term sickness has increased significantly, there have been small decreases in nearly all services compared to the previous quarter. The overall increase is due to more long-term sickness absence within Operations and Development.

Service	Total days sick – long-term	Days Lost/FTE – long-term	Employees absent during Quarter due to long-term sickness
Operations	724 ↑	4.2	14 (8% of all in service)
Development	138 ↑	2.9	3 (6%)
Resources	66 ↓	3.6	1 (5%)
Customer Services	267 ↓	1.7	6 (4%)
Leisure and Health	148 ↓	1.5	4 (3%)
Community	51 ↓	1.2	1 (2%)
CMT/Executive Support	0 -	0	0 (0%)
Corporate Team	0 -	0	0 (0%)
OVERALL	1,403 ↑	2.5	30 (5% of all HDC employees)

3.0 HR CASELOAD

The HR Team’s caseload is recorded to provide an indicator of the type of HR issues that the organisation has been dealing with over time.



3.1 BREAKDOWN OF HR CASES BY TYPE FOR THE QUARTER

During Quarter Three there were 74 cases in progress, of which 24 were dealt with under the formal procedures. The breakdown of informal and formal cases for the previous Quarter is also shown in brackets for comparison purposes.

	Informal Cases	Formal Cases	Total	Last Quarter
Appeals	0 (0)	6 (0)	6	0
Capability – Long Term Sickness	15 (16)	3 (4)	18	20
Capability – Short Term Sickness	17 (40)	7 (13)	24	53
Capability - Performance	0 (0)	1 (1)	1	1
Consultations (including TUPE)	5 (5)	7 (5)	12	10
Dignity at Work	0 (0)	1 (0)	1	0
Disciplinary	8 (7)	0 (1)	8	8
Employment Tribunals	0 (0)	1 (1)	1	1
Grievance	0 (0)	2 (1)	2	1
Probation	0 (0)	1 (1)	1	1
Total	46	24	74	95



Huntingdonshire District Council

LGSS Performance Report

Quarter 3 2015/16

Presented by:

Anna Marsh, Lead HR Manager

Adrian Dobbyne, Corporate Team Manager, HDC

Laura Lock, Programme and Project Manager, HDC

Publish Date: January 2016

Data prepared by: LGSS P&I Team

General Service Standards

Measure	Description:										Total Number		
GSS.01	Number of issue logs/feedback forms presented to LGSS from HDC										12		
Reported Monthly	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
	0	1	2	4	0	2	0	3	1				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Recruitment				3									
Payroll								1					
OWD		1	1	1		2			1				
HR Advisory								2					
Total	0	1	1	4	0	2	0	3	1				
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Systems failure		1	1			1		1					
General issue				1		1			1				
Communications issue				3				2					
Compliments													
Total	0	1	1	4	0	2	0	3	1				
Quarter 3 Commentary: Issues raised in quarter three - two relating to booking Occupational Health Appointments, one regarding new starters not pulling through into the financial management system and one relating to booking of a course													

HR Strategic & Advisory

Measure	Description	Contract Amount									2015/16 To Date		
HRA.01	Number of days strategic HR advice provided	20 days									0.5		
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Monthly Totals		0	0	0	0.5	0	0	0	0	0			
Quarterly Totals		0.0			0.5			0.0					

Quarter 3 Commentary: LGSS will confirm how many strategic days are required for the additional policy requested.

Measure	Description										Total Number		
HRA.02	The number of open cases being advised on by the HR team.										146		
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Opening Number of Cases		52	49	44	50	62	60	53	56	46	0	0	0
Appeals		0	0	0	0	0	0	0	0	0			
Capability - LT Sick		8	8	7	8	10	13	14	14	15			
Capability - ST Sick		32	29	28	34	39	32	21	23	15			
Capability - Perf		3	3	2	1	1	1	1	1	1			
Consultations		4	4	3	4	5	6	10	10	9			
Dignity at Work		0	0	0	0	0	0	0	1	1			
Disciplinary		4	3	2	2	6	5	4	5	3			
Employment Trib		1	1	1	0	0	1	1	1	1			
Grievance		0	0	0	0	0	1	1	0	1			
Probation		0	1	1	1	1	1	1	1	0			
New Cases Opened		5	8	15	21	18	6	11	4	6	0	0	0
Appeals		0	0	0	0	0	0	1	0	5			
Capability - LT Sick		1	0	2	4	6	2	2	2	0			
Capability - ST Sick		3	8	10	12	7	0	3	0	0			
Capability - Perf		0	0	0	0	0	0	0	0	0			
Consultations		0	0	2	1	1	4	1	0	1			
Dignity at Work		0	0	0	0	0	0	1	0	0			
Disciplinary		0	0	1	4	2	0	3	1	0			
Employment Trib		0	0	0	0	1	0	0	0	0			
Grievance		0	0	0	0	1	0	0	1	0			
Probation		1	0	0	0	0	0	0	0	0			
Current Cases Closed		8	13	9	9	20	13	9	14	9	0	0	0
Appeals		0	0	0	0	0	0	1	0	5			
Capability - LT Sick		1	1	1	2	3	1	2	1	1			
Capability - ST Sick		6	9	4	7	14	11	2	8	2			
Capability - Perf		0	1	1	0	0	0	0	0	0			
Consultations		0	1	1	0	0	0	1	1	0			
Dignity at Work		0	0	0	0	0	0	0	0	0			
Disciplinary		1	1	1	0	3	1	2	3	0			
Employment Trib		0	0	1	0	0	0	0	0	0			
Grievance		0	0	0	0	0	0	1	0	1			
Probation		0	0	0	0	0	0	0	1	0			
Closing Number of Active Cases		49	44	50	62	60	53	55	46	43	0	0	0

Quarter 3 Commentary: 5 assimilation challenges were received as part of the ICT consultation.

Number of active cases being managed by type:

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Appeals	0	0	0	0	0	0	1	0	5			
Capability - LT Sick	9	8	9	12	16	15	16	16	15			
Capability - ST Sick	35	37	38	46	46	32	24	23	15			
Capability - Perf	3	3	2	1	1	1	1	1	1			
Consultations	4	4	5	5	6	10	11	10	10			
Dignity at Work	0	0	0	0	0	0	1	1	1			
Disciplinary	4	3	3	6	8	5	7	6	3			
Employment Trib	1	1	1	0	1	1	1	1	1			
Grievance	0	0	0	0	1	1	1	1	1			
Probation	1	1	1	1	1	1	1	1	0			
Total - equal to opening number plus new cases	57	57	59	71	80	66	64	60	52	0	0	0

Measure	Description	Contract amount									2015/16 to date		
HRA.03	Number of Policies implemented from 2015/16 allowance	5									0		
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Policies Implemented		0	0	0	0	0	0	0	0	0			
Provisional Forward Plan - subject to change due to rationalisation of policies across the Shared Service													
Policy		New or Review?					Scheduled Start Date			Scheduled Implementation Date			
1. Cosmetic updates to policies		Review					November 2015			March 2016			
a. Equality of Opportunity													
b. Stress													
c. Pay Policy													
d. Redundancy Policy													
2. Disciplinary policy		Review					November 2015			March 2016			
3. Grievance Policy		Review					November 2015			March 2016			
4. Dignity at Work Policy		Review					November 2015			June 2016			
5. Variables Policy		New					November 2015			June 2016			
6. Recruitment Policy		New					January 2016			June 2016			
Quarter 3 Commentary: A sixth policy has been added and this will be resourced from the strategic days allowance as it is in excess of the contracted amount.													

HR Transactions

Measure	Description											2015/16 Target
PHT.01	Number of employment contracts issued against statutory timescale of 8 weeks from notification of new starter.											100.00%
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Total Contracts issued	14	18	19	12	13	16	16	18	19			
Contracts with 8 weeks	14	18	19	12	13	16	16	18	19			
Quarterly Percentage	100.00%			100.00%			100.00%			0.00%		
RAG Status	G			G			G					

Measure	Description											2015/16 Target
PHT.02	Employees paid on time and accurately, based on emergency payments and supplementary payment runs											95.00%
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Total Payroll Accuracy	99.48%	98.22%	99.60%	99.48%	99.04%	98.76%	99.19%	98.87%	99.57%			
LGSS Inaccuracy Percentage	0.31%	0.59%	0.10%	0.31%	0.19%	0.10%	0.30%	0.10%	0.11%			
HDC Inaccuracy Percentage	0.21%	1.19%	0.30%	0.21%	0.77%	1.14%	0.51%	1.03%	0.32%			
LGSS Quarterly Average	0.33%			0.20%			0.17%			0.00%		
HDC Quarterly Average	0.57%			0.71%			0.62%			0.00%		
RAG Status	G			G			G					

December Commentary: Payroll, 0.11% (1 Software Fault 0.11%). External, Revenues 0.10% (1 incorrect absence reporting), IMD Development 0.11% (Annual Leave Payment omitted from leaver form), One Leisure Huntingdon 0.11% (1 Late submission of OT).

November Comments: Payroll, 0.10% (Back Pay not processed). External, One Leisure Huntingdon 0.21% (2 non notifications of new starters), One Leisure Ramsey 0.10% (1 non notification of additional post), One Leisure Sawtry 0.31% (2 non notifications of additional posts, 1 non notification of new starter), One Leisure St Ives 0.10% (1 non notification of new starter), Revenues 0.31% (1 mileage claim submitted in wrong format, 2 emps incorrectly reported as returned to work from sickness while in half or nil pay).

October Comments: Payroll, 0.30% (1 Data omitted on input 0.10%, 1 Wrong input 0.10% & 1 Software Fault 0.10%). External, Call Centre 0.10% (1 Late notification of leaver), One Leisure Sawtry 0.10% (1 Late notification of starter), One Leisure Huntingdon 0.10% (1 Late notification of starter), CCTV 0.10% (1 Late notification of leaver), One Leisure St Ives 0.11% (1 Late notification of leaver).

Measure	Description											2015/16 Target
PHT.03	Payroll Reports produced in line with statutory and service requirements.											100.00%
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Report produced in time for fixed term contracts	100%	100%	100%	100%	100%	100%	100%	100%	100%			
RAG Status	G			G			G					
Monthly reports produced for sickness statistics	100%	100%	100%	100%	100%	100%	100%	100%	100%			

Organisational Workforce and Development (OWD)

Measure	Description (OWD typical planned monthly provision is 2000 course places per month)	Contract Amount	2015/16 To Date											
OWD.01	Number of course places delivered against those requested. <i>The request relates to the month of the course - not the month of the request. If course has number of days next to it, total should be divided by number of days to give delegate total.</i>	offer up to an average of 500 course (DAY/HDC only) places (or equivalent)	146											
			Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Number of (DAY/HDC only) places delivered			1	28	9.5	11.5	8.5	22	25	20	9.5			
Number of places cancelled/non attended			0	0.5	0	0.5	0	2	3	2	3			
Number of places requested												70	15	12
Cumulative Total - delivered and forecast			1	29.5	39.0	51.0	59.5	83.5	111.5	133.5	146.0	216.0	231.0	243.0
Quarter 3 Comments: Number of places requested for January 2016 high number includes 15 people from Operations and One Leisure undertaking four day IOSH course.														

Delivered	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Appraisal Training		28					0.5					
Managing and Dealing with Conflict								2				
Managing Change Successfully								2				
Building High Performance Teams								1				
Customer Experience									5			
Time Management									1			
Emergency First Aid								8	1			
Project Management	1		2			2						
Managing the Well-Being of Your Staff (Half Day)			2.5									
Minute Taking			1									
Performance Management and Appraisal For Managers			1									
Recruitment and Selection (Half Day)			2						0.5			
Developing Critical Thinking			1						1			
Corp Induction (Half Day)				9.5			9.5					
Assertiveness				1								
Planning for Retirement				1				1				
Managing your Future - Selling your skills and achievements (Half Day)					6							
Coaching Power Hours					0.5							
Making a Financial Case					2							
Becoming an Effective leader						1						
Developing Future Services						2			1			
Improving Team Communications						1						
Leading an Empowered Organisation (Three Day)						6		6				
Specification Writing						4						
High Impact Communication and Influencing						2	2					
Essential Skills for Aspiring & New Managers							2					
Exceptional Administrator							1					
Motivating Yourself & Your Team with DRIVE							1					
Train the Trainer - HDC Countryside Services							9					
Situational Leadership (Two Day)						4						
Total	1	28	9.5	11.5	8.5	22	25	20	9.5	0	0	0

Measure	Description	2015/16 To Date											
OWD.02	Number of supported E-Learning Courses completed	272											
		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Number of accounts open		337			367			364					
Number of Completed online courses		23	33	40	46	20	11	25	32	42			
Quarter 3 Commentary: Figures for completed courses have been verified. There has an issue with the elearning module for information security not pulling information through regarding completions. This has now been rectified which explains the increase in numbers for the first quarter. Spreadsheet with information regarding completions April to September sent to Laura separately. Review of online accounts currently underway - reduction likely in quarter four.													

Measure	Description	Contract Amount	2015/16 To Date											
OWD.03	Number of candidates undertaking Vocational Qualifications / Institute of Leadership and Management	Offer 20	13											
			Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Active learners			13	10	10	9	9	8	4	8	15			
New registrations			0	1	0	0	0	0	5	7	0			
Withdrawn/ Expired			0	0	0	0	0	0	0	0	0			
Completed			3	1	1	0	1	4	1	0	1			
Quarter 3 Commentary: Numbers of learners increased - still opportunity for more. OneLeisure have enquired about award in education and training- waiting dates and numbers from Pete Corley. IOSH qualification for Operations and OneLeisure will be offset against course places.														

Measure	Description	2015/16 Target			
OWD.04	% score of 3 (out of 4) or above on training evaluation question “the session was of a direct value to my work” on courses delivered across the year.	95%			
		Q1	Q2	Q3	Q4
Quarterly average		97%	97%	96%	
RAG Status		G	G	G	
Quarter 3 Commentary: Courses still continue to receive good feedback.					

Measure	Description	Contract Amount	2015/16 To Date	
OWD.05	Number of OWD Consultancy Days provided to senior managers to assist with understanding of workforce needs – design and deliver specifically tailored training	35 days	12.5	
Project Title	Q1	Q2	Q3	Q4
Senior Management discussions	0.5	0		
Corporate Induction review	2	1		
Ad hoc advice		2	2	
Future work planning and followup		1		
Bespoke courses		2.5		
Additional MI queries and modifications		1	0.5	
Quarter 3 Commentary: Additional MI queries and modifications predominately in respect of clarifying and refining data for Online accounts.				

Measure	Description	Contract Amount	2015/16 To Date	
OWD.06	Provide advice in the area of OWD training and development to support the strategic direction of HDC	5 days	0.5	
Days	Q1	Q2	Q3	Q4
	0	0.5	0	

Measure	Description	Contract Amount
OWD.07	Provision of a development/assessment programme for or of senior/middle leaders and managers	12 places or equiv time
Quarter 3 Commentary: Proposal sent to Jo Lancaster and Adrian Dobbyne. 11 November Adrian advised he wanted to discuss proposal with Jo. Message from Adrian 24 December - advising that other more pressing priorities taken over and would be picking this up in new year. Progress to date Clive Mason, Chris Stopford have attended High Impact Communication and Influencing. Jayne Wisely attending course in January/February. Chris Stopford has had one coaching session.		7 ongoing plans in place

Measure	Description	Contract Amount	2015/16 To Date
OWD.08	Host corporate management event for senior leaders and managers (or similar /equivalent)	4 events	0
		Q1	Q2
		Q3	Q4
Events		0	0

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Public
Key Decision - No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter: Workforce Development Strategy Plan on a Page
Meeting/Date: Employment Panel – 3 February 2016
Executive Portfolio: Organisational Change and Development – Cllr S Cawley
Report by: Corporate Team Manager
Ward(s) affected: All

Executive Summary:

This report outlines progress that has been made relating to the Workforce Development Strategy and presents the Workforce Development Strategy Plan on a Page which has been developed to give staff and members an overview of the full strategy.

Recommendation(s):

That members of Employment Panel consider the report and appendix, making any salient observations or recommendations.

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1. WHAT IS THIS REPORT ABOUT/PURPOSE?

- 1.1 This report outlines some of the key activities we have done and those we plan to do as shown in the Workforce Development Strategy Plan on a Page (WDSPP).
- 1.2 It is designed to be read in conjunction with the WDSPP, a document that gives a comprehensive overview of the full Workforce Development Strategy.

2. WHY IS THIS REPORT NECESSARY/BACKGROUND

- 2.1 To make members aware of the steps we are taking to ensure Huntingdonshire District Council's vision for its employees is realised.
- 2.2 The WDSPP states the organisation's vision for its workforce is

'To create a leaner organisation, comprising a flexible, agile and engaged staff which is responsive to changing demands; uses technology to deliver services differently; seeks opportunities for more flexible working and is both commercial and customer focused.'

3. ANALYSIS

- 3.1 The Workforce Development Strategy was approved by Employment Panel in February 2015 and over the last year there have been various areas of work to drive forward change and improvement. These include:
- A new appraisal process that includes 360 degree feedback, SMART objectives, an abbreviated form for frontline employees (such as those in Operations) and more focus on maximising career potential and capturing other skills
 - Centralised coordination of training plans to enable greater understanding of the training needs within HDC and ensure staff are notified when a LGSS training course that meets their needs is available
 - More robust management of the LGSS contract to gain more value from the training and development opportunities that are available
 - Senior Management Team (SMT) driving the corporate training agenda to ensure corporate training needs are addressed – this includes bespoke training on setting SMART objects and stretch targets, Commercialisation and Bullying and Harassment awareness
 - SMT taking an active role in identifying individuals who would benefit from development and staff being offered these opportunities – examples include Presentation and Personal Impact Skill training, qualifications with the Institute of Leadership and Management
 - SMT are also looking to reward staff with opportunities and this was demonstrated by entering a team in the Local Government Challenge and from other development opportunities such as being a member of a job evaluation panel or being involved in an HR case, for example leading a grievance or disciplinary investigation
 - All services now have a service plan with clear links to the Corporate Plan and the Customer Service Strategy

- Improved Council-wide communications have been introduced to increase and promote engagement between staff and management. This includes the introduction of *Key Issues*, a monthly staff newsletter covering all services areas, and *Top Blogs*, a more informal medium for letting staff know what members of CMT have been doing – written by the Managing Director
- Introduced an IT system to allow staff full access to the HDC network at partner sites such as South Cambridgeshire District Council, Cambridge City Council and Cambridgeshire County Council. This is in addition to the option for homeworking and gives staff a full range of flexible working options
- Undertaken analysis of all employees working patterns in order to facilitate further hot-desking opportunities and generate income from space utilisation

4. COMMENTS OF OVERVIEW & SCRUTINY PANEL

4.1 This report is not going to an Overview and Scrutiny Panel.

5. KEY IMPACTS/RISKS? HOW WILL THEY BE ADDRESSED?

5.1 The key impacts are outlined in the vision for the WDSPP.

5.2 To ensure we remain focused on the Key Metrics shown in the WDSPP, two Heads of Service will attend each Employment Panel (one from each Directorate) to present an update of their service area in relation to appropriate Key Metrics. This will ensure significant issues are addressed and challenged where necessary.

5.3 The key risks are that we don't continue the momentum we currently have and don't continue to drive change and improvement.

5.4 These risks will be monitored by the Key Metrics identified in the WDSPP which should reduce the risk that we don't continue to deliver against our vision. The presentations by Heads of Service against those metrics will also reduce risk. There will be more work done on some metrics as they are introduced.

6. WHAT ACTIONS WILL BE TAKEN/TIMETABLE FOR IMPLEMENTATION

6.1 Progress against the plan will be monitored and further options to enable and advance our staff explored as and when identified.

7. LINK TO THE CORPORATE PLAN

7.1 The WDSPP is driven by the Council's four corporate plan priorities which underpin the Workforce Development Strategy and the WDSPP's strategic priorities.

8. CONSULTATION

8.1 The Workforce Development Strategy, which the WDSPP acts as an overview to, reflects a broad range of views resulting from consultation with the senior management team, staff, managers, the Staff Council, Cabinet and the Employment Panel. There will be no further consultation on the WDSPP.

9. LEGAL IMPLICATIONS

9.1 No legal issues have been identified at this stage.

10. RESOURCE IMPLICATIONS

10.1 There are no additional resource implications, but there is a time commitment across the organisation

11. OTHER IMPLICATIONS

11.1 The Plan going forward enables our training and development to be equally accessible regardless of pay grade, gender, service or employment type.

12 REASONS FOR THE RECOMMENDED DECISIONS

12.1 That members of Employment Panel consider the report and appendix, making any salient observations or recommendations.

13. LIST OF APPENDICES INCLUDED

Appendix 1 – Workforce Development Strategy Plan on a Page

BACKGROUND PAPERS

Workforce Development Strategy – Employment Panel – 11 February 2015

CONTACT OFFICER

Adrian Dobbyne, Corporate Team Manager
01480 388100

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Huntingdonshire District Council - WORKFORCE DEVELOPMENT STRATEGY ON A PAGE

CORPORATE PRIORITIES

A Strong Local Economy

Enabling Sustainable Growth

Working with our Communities

Customer Focused and Service Led

VISION

To create a leaner organisation, comprising a flexible, agile and engaged staff which is responsive to changing demands; uses technology to deliver services differently; seeks opportunities for more flexible working and is both commercial and customer focused.

STRATEGIC PRIORITIES

Support personal development

- Personal Development Plan (PDP)
- Organisational Training Plan & Budget
- LGSS Training Open Programme
- Externally Sourced Training
- Specialist Training
- Qualifications
- Coaching, Mentoring & Action Learning

KEY METRICS

- Increase in skills
- Training days

Deliver great leadership and management

- Senior Management Team
- Management Team
- Peer Review
- Communications Strategy
- Performance Reporting
- Engaged Workforce
- Leadership Development Programme

KEY METRICS

- Staff turnover

Promote a healthy and safe work environment

- Code of Conduct
- Health and Safety Policy
- Sickness Reporting
- Incident Reporting
- HR Policies
- Work / Life Balance
- Employee Benefits Scheme
- Wellbeing Programme

KEY METRICS

- Number of reported H&S incidents
- Absenteeism levels

Enable involvement in decision-making

- Focus Groups
- Staff Council
- Consultations
- Communications Strategy
- Communications Champions
- Employee Survey
- Meet SMT

KEY METRICS

- Employee survey participation levels

Manage talent and succession planning

- Annual Assessment
- Active Talent Management
- Leadership Programme
- Recruitment/Retention Practices
- Workplace Shadowing
- Awards/Competition Programme

KEY METRICS

- Internal appointments
- Appraisal rating
- Recruitment costs

Ensure every role counts in the structure

- Corporate Plan
- Service Plan
- Zero Based Budgeting
- Appraisals / Supervision
- Job Evaluation
- Performance Management

KEY METRICS

- Employee Net Promotor Scores

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Public

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter:	Pay Policy Statement 2016/17
Meeting/Date:	3 rd February 2016
Executive Portfolio:	Councillor S Cawley - Executive Councillor for Organisational Change and Development
Report by:	A Dobbyne – Corporate Team Manager

Executive Summary:

To present the Pay Policy Statement to Employment Panel for comment and endorsement.

Recommendation

Employment Panel are asked to endorse the Pay Policy Statement 2015/16

1. PURPOSE

- 1.1 The Localism Act 2011 requires each local authority to produce a Pay Policy Statement for each financial year. The Statement must be agreed by full Council by 31st March 2015. It must set out the authority's policies relating to the remuneration of its Chief Officers, the remuneration of its lowest-paid employees and the relationship between the remuneration of Chief Officers and of other employees.
- 1.2 The statement must include policies on Chief Officers' remuneration on recruitment, increases and additions to remuneration, use of performance-related pay and bonuses, termination payments and transparency.

2. PAY POLICY STATEMENT FOR 2015/16

- 2.1 The Pay Policy Statement attached sets out the Council's current policies and standard practices and should satisfy the requirements of the Localism Act 2011. Much of the information required is already published by the Council on its website.
- 2.2 Once adopted, the Pay Policy Statement will be publicised on the Council's website along with the data on senior salaries that is already published under the Code of Recommended Practice for Local Authorities on Data Transparency 2011.

Recommendation(s):

Employment Panel are asked to endorse the Pay Policy Statement 2015/16.

Contact Officer:

Anna Marsh, Lead HR Manager (LGSS)
 **01480 388482**

PAY POLICY STATEMENT 2016 - 17

This Pay Policy Statement forms part of Huntingdonshire District Council's pay and reward strategy and provides information about the Council's policies relating to the pay and reward of chief officers and other employees, as required by sections 38-43 of the Localism Act 2011.

The Statement is available on the Council's website and contains hyperlinks to associated documents. The Council's website also includes separately published data on pay and reward for senior Officers which can be accessed from this link:

<http://www.huntingdonshire.gov.uk/media/1636/statement-of-accounts-2014-15.pdf>

Terms and conditions of employment – decision making

Terms and conditions for employees are a non-executive function and responsibilities for decisions on these matters are delegated by full Council to Employment Panel and Senior Officers Panel. Information about these Panels and our staff consultative body is listed below.

Employment Panel:

The Employment Panel is a committee of Councillors appointed by Full Council to consider matters to do with the general terms and conditions of employment. Its membership is representative of the political balance of the Council. The Panel meets four times per year and is supported by the Managing Director (Head of Paid Services) and other officers as required. Full constitutional arrangements can be found in the Council's Constitution, which can be accessed from this link:

<http://www.huntingdonshire.gov.uk/council-democracy/meetings-and-decision-making/>

Senior Officers Panel:

The Senior Officers Panel is a committee of Councillors appointed by Full Council to consider matters to do with the appointment and termination of office of senior staff. The Panel meets as required and a Chair is elected during the first annual meeting of the Panel. Full constitutional arrangements can be found in the Council's Constitution.

Staff Council:

The Council places great emphasis on the value of strong employee consultation and engagement. The majority of staff are not in a trade union. The Council has established a staff consultative body which consists of up to 15 volunteer staff elected by staff – Staff Council. The Managing Director works with Staff Council representatives to address matters of staff interest and concern and to establish an agenda which is discussed during formal meetings with Members who are drawn from the Employment Panel. Staff Council is the body that undertakes collective bargaining and consultation on a formal basis. The Council also recognises that approximately 25% of the contracted workforce are members of Unison and maintains close contacts with this union as required. Terms of Reference for Staff Council can be accessed from this link:

<http://applications.huntsdc.gov.uk/moderngov/documents/s31400/Employment%20Panel%20-%2025.05.10%20->

The Council's senior managers

The Council's employees are managed by one Managing Director, two Corporate Directors, six Heads of Service and a Corporate Team Manager. The position of Head of Paid Service is held by the Managing Director. The Managing Director holds the positions of Returning Officer and Electoral Registration Officer, s151 officer role is held by the Head of Resources and the Monitoring Officer is held by the Corporate Director, Services.

For the purposes of this Statement only, the Council has determined that the definition of the term "chief officer" in section 43 of the Localism Act includes the Managing Director post, two Corporate Directors, six Heads of Service and the Corporate Team Manager who all report directly to the Managing Director or Corporate Directors.

Basic salary

The current salary scales for the Managing Director, Corporate Directors, Heads of Service and Corporate Team Manager are shown in the table below.

Table 1

Post	Grade	Minimum Grade Point (£)	Maximum Grade Point (£)
Managing Director	MD	117,500	132,500
Corporate Directors (x2)	AD	77,000	87,000
Heads of Service (x6)	SM	59,000	67,000
Corporate Team Manager (x1)	I	47,511	53,474

Payment of professional fees

Huntingdonshire District Council do not pay personal subscription fees for any professional bodies with the exception of the Section 151 Officer.

Other allowances

Standby and closed attendance allowance arrangements are utilised in some services to ensure 24/7 cover and/or to provide additional cover at particular peaks in demand and/or to undertake duties outside the agreed normal working week.

Short-term allowance payments may be made for acting up or additional duties.

Expenses

The Council's expenses rates were endorsed by Employment Panel in October 2014 and mileage costs are aligned to the HMRC benchmark rates. Employees are not entitled to reimbursement for

subsistence allowances whilst undertaking Council business, other than pre-approved overnight meal allowances

Election fees

The Managing Director holds the positions of Returning Officer and Electoral Registration Officer. Fees in respect of District Council elections are included in the salary of the Managing Director post. Additional fees may be payable for other elections, with fees for certain polls set by Statutory Instrument.

Other employees may receive additional payment for specific election duties according to scales set by the Returning Officer but derived from fees set by the Cabinet Office and other guidance.

Salaries on recruitment/appointment

As required by guidance under section 40 of the Localism Act, full Council are given the opportunity to vote before salary packages in excess of £100,000 are offered in respect of new appointments. This is likely to only apply to appointments to posts on Grade MD in the current pay structure, but will include any posts where salary packages (including salary, bonuses, fees, allowances and any benefits in kind) exceed £100,000. This £100,000 threshold will be amended if Government guidance changes.

Salaries on appointment to all posts, including senior managers, are determined in accordance with the Council's Pay Policy. The Pay Policy is attached as an appendix to this statement.

Head of Paid Service/ Managing Director

The full Council will approve the appointment of the Head of Paid Service following the recommendation of such an appointment by a panel of the Council appointed for that purpose, and before an offer of appointment is made to the selected candidate and any salary packages that exceed £100,000 are proposed. That panel must include the relevant Executive Councillor and salary will be within the pay grade MD in table 1.

Salaries on appointment to the Managing Director post is currently set within the scale for Grade MD employees. The Managing Director was appointed on a salary of £125,000.

Other Chief Officers (as defined for the purposes of this Statement only)

Salaries on appointment are made in line with pay grades shown in table 1, as appropriate to the post.

Recruitment of Chief Officers

The Council's policy and procedures with regard to recruitment of chief officers is outlined in the Employment Procedure Rules as set out in the Constitution.

Where the Council remains unable to recruit chief officers under a contract of service, or there is a need for interim support to provide cover for a vacant substantive chief officer post, the Council will, where necessary, consider and utilise engaging individuals under 'contracts for service'.

These will be sourced through the relevant procurement processes ensuring the council is able to demonstrate the maximum value for money benefits from competition in securing the relevant service.

Salary progression

A new appraisal scheme has been implemented at HDC, which provides employees with the opportunity to be advanced within their grade subject to performance. In 2015/2016 no performance increments were paid to any staff due to the introduction of the new appraisal system.

The Pay Policy framework also sets out how salaries will be determined on promotion, regrading of current post to a higher grade, transfer or acting up.

Annual Pay Award

There is no automatic cost of living increase. The Council has local arrangements for negotiating the cost of living pay award with relevant parties, including Staff Council. For 2016/17 the cost of living award, if any, has not yet been determined.

Pension and pension entitlements

The employees within the scope of this Statement are entitled to join the Local Government Pension Scheme (LGPS). Employees contribute between 5.5% and 12.5% of their salary while the Council currently contributes 17.8% in respect of ongoing service.

Relationship to lowest paid employees

This Statement defines lowest-paid employees as those on the bottom of Grade A (spinal point 1).

The current highest total salary paid by the Council including allowances is £125,000 to the Managing Director. The maximum basic salary that could be paid is £132,500 at spinal column point 56 on the MD grade.

The Hutton Review of Fair Pay in the Public Sector recommends that public sector organisations should publish pay multiples which should be calculated on the basis of all taxable earnings for the given year, including base salary, variable pay, bonuses, allowances and the cash value of any benefits in kind. Pay multiples comparing the current highest total salary and the maximum total salary against mean, median and lowest salaries are listed on the next page.

The mean basic FTE salary paid by the Council for posts filled by contracted employees at 1st April 2015 is £25,778.00.

The ratio between the mean FTE salary and the current highest total salary is 1:4.8. The ratio between the mean FTE salary and the maximum possible basic salary is 1:5.1

The median basic FTE salary is £20,854.00.

The ratio between the median basic FTE salary and the current highest total salary is 1:6. The ratio between the median basic FTE salary and the maximum possible basic salary is 1:6.4.

The lowest pay point on our new salary scales for contracted employees is currently £13,029.00, which is the minimum FTE starting salary for employees on spinal column point 1 (within Grade A).

The ratio between the lowest salary and the current highest salary is 1:9.6. The ratio between the lowest salary and the maximum possible salary is 1:10.2

The Hutton Review of Fair Pay in the public sector analysed whether a 1 to 20 pay multiple might be justified as promoting fairness in public sector pay. Hutton's Final Report concluded that this was not justified but that all public service organisations should publish their top to median pay multiples each year to allow the public to hold them to account. The Government has agreed with this type of approach.

In line with Hutton's recommendations, the Council does not have a policy to maintain or achieve a specific pay ratio between the highest and lowest paid employees but it will publish its pay multiples each year.

Re-engagement of ex Huntingdonshire District Council staff

All permanent or fixed term posts are advertised in accordance with the Council's recruitment policies and appointment is made on merit.

Interim management appointments are made in accordance with the Council's procurement policies and the provisions for services. The Council will not engage an ex chief officer of Huntingdonshire District Council (as defined in this Statement) outside of these arrangements and the Council will not usually re-employ or re-engage a person who has been made redundant into a similar role any time in the future. In exceptional circumstances re-engagement to a significantly different role with different responsibilities may be possible.

Employment of those in receipt of an LGPS pension

When a Local Government Pension Scheme pensioner is re-employed within the local government sector and combined earnings and pension exceeds final salary in the original employment when adjusted for inflation, the pension will be abated.

Receipt of Local Government Pension Scheme pension while employed

Employees aged 55 or over who are members of the Local Government Pension Scheme may apply to take flexible retirement where working hours or pay grade are reduced and pension benefits accrued prior to this point may be drawn down. Applications from all officers, including chief officers, will be considered on merit and only agreed where there is no detrimental effect on the service. It is the Council's policy not to accept any such applications if there is a cost to the Council unless a business case can be made on economic grounds.

Severance payments

Severance payments are made in accordance with the Council's Redundancy Policy as approved by Employment Panel in August 2014 and are the same for all staff.

Employees with more than two years' service will be entitled to redundancy pay in line with local government guidelines and statutory calculations. Where the employee is entitled to a redundancy payment, the calculation is based on the employee's actual weekly pay.

Settlement agreements will only be used in exceptional circumstances where they represent best value for the Council.

Review

The Localism Act 2011 requires relevant authorities to prepare a Pay Policy Statement for each financial year. If it should be necessary to amend this 2016/17 Statement during the year that it applies, an appropriate resolution will be made by Full Council. This statement will be submitted to Full Council for approval by 31st March 2016.

January 2016

Public
Key Decision – No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter: Employee Opinion Survey 2015 Action Plan

Meeting/Date: Employment Panel – 3 February 2016

Executive Portfolio: Executive Councillor for Organisational Change and Development

Report by: Policy, Performance & Transformation Manager (Scrutiny)

Ward(s) affected: All

Executive Summary:

The Employee Opinion Survey took place from 15th July 2015 to 15th August 2015, with 331 employees responding. This is an increase compared to the previous year, with a 55% response rate based on the number of full-time and part-time employees employed when the survey launched.

As presented to Employment Panel in September 2015, improvements were recorded for 94% of the questions where results could be compared with the 2014 results. While the overall improvement since last year is positive, the Council's management, staff and Members expect further improvements when the survey is repeated in summer 2016.

The responses to the survey provided a greater level of detail than in previous years. To ensure findings were considered at the most appropriate level, service results have been shared with staff for discussion within each service. Issues have been identified and a range of actions were proposed following these discussions. A focus group has subsequently been held with a cross-section of employees from across the organisation, including a representative from the Staff Council, where many of these proposals were discussed and additional suggestions put forward.

The action plan attached has been developed following this consultation with staff. The Corporate Management Team has reviewed the actions and agreed responsibilities and timescales for them. Delivering these actions is expected to contribute towards continuing improvement in morale and help to further improve the working environment for employees in all services.

Recommendation(s):

Employment Panel are asked to endorse the action plan attached at Appendix A.

1. WHAT IS THIS REPORT ABOUT/PURPOSE?

- 1.1 The purpose of this report is to share and invite Members to comment on the attached action plan developed to address issues raised through the Employee Opinion Survey following input from staff across the Council.

2. WHY IS THIS REPORT NECESSARY/BACKGROUND

- 2.1 The Council continues to go through a period of significant change and although results improved for nearly all questions asked in the survey, staff, management and Members expect further improvements to be made. Areas of concern to be addressed have been identified and proposals developed which should result in improvements when the survey is repeated in summer 2016.

3. ANALYSIS

- 3.1 Results of the survey were discussed by the Senior Management Team (SMT) before being shared with staff and Members in September 2015. Further discussion of the details took place within each service area, resulting in suggestions of actions being put forward from staff across the organisation. Proposed actions were discussed by a cross-section of staff at a focus group held in December 2015 and this provided valuable feedback on their likely impact as well as contributing new ideas for consideration.

- 3.2 The action plan attached has been prepared based on the feedback received and sets out 21 actions we have committed to doing and the timescales for these (see Appendix A).

4. KEY IMPACTS/RISKS? HOW WILL THEY BE ADDRESSED?

- 4.1 Although the survey results generally improved, it is acknowledged that further improvements are required. Ignoring the results by not taking any actions may risk performance standards slipping if staff are not motivated, communicated to or managed well and could affect the Council's reputation as a good employer.

- 4.2 Many of the results are likely to improve over time as recent changes are embedded and as the Council is seen to be more open and honest in engaging and communicating with staff. Other improvements will be achieved by delivering the actions planned.

5. WHAT ACTIONS WILL BE TAKEN/TIMETABLE FOR IMPLEMENTATION

- 5.1 The action plan is attached at Appendix A.

6. LINK TO THE CORPORATE PLAN

- 6.1 Carrying out a staff satisfaction survey is a key action in the Corporate Plan.

7. CONSULTATION

- 7.1 Survey results were shared with staff in September 2015 and discussions with staff within each service in October/November and at a cross-service focus group in December have informed the development of the action plan. The action plan was shared with Staff Council prior to submission to Employment Panel.

8. LEGAL IMPLICATIONS

8.1 None.

9. RESOURCE IMPLICATIONS

9.1 There are planned resource implications of the proposed actions on staff time. If there are any additional resource implications identified when planning to undertake individual actions then these will be considered separately.

10. OTHER IMPLICATIONS

10.1 Some of the actions will help to address possible equality issues around discrimination, harassment and fair treatment as identified in the survey.

11 REASONS FOR THE RECOMMENDED DECISIONS

11.1 The survey results indicate that a number of areas for improvement remain. Staff, management and Members want to address these areas and the action plan has been developed to help us do this. The survey will be repeated in summer 2016 and the proposed actions should help improve results.

12. LIST OF APPENDICES INCLUDED

Appendix A – Employee Opinion Survey 2015 Action Plan

BACKGROUND PAPERS

Minutes of Employment Panel meeting, 23 September 2015 (minute 17, 2015/16)
Confidential survey results held by the Corporate Team

CONTACT OFFICER

Daniel Buckridge / Policy, Performance & Transformation Manager (Scrutiny)
01480 388065

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Employee Opinion Survey Action Plan 2015/16

Appendix A

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Action	Who?	When?	What is the intended goal?
New Service Plans for 2016-18 to be in place for all services.	Senior Management Team (SMT)	30 March 2016	This will demonstrate how service activities link through to actions and outcomes in our Corporate Plan and to individual objectives (the 'golden thread').
Ensure new Appraisal process is followed consistently for all contracted staff.	All managers	30 June 2016	This will ensure we are meeting our standards and keep staff informed of their targets and objectives, also to provide feedback on their performance. Only 42% of forms for appraisals were signed off and returned to HR by September 2015 – our target is for 100% to be signed off and returned by 31 July 2016.
Run survey focussing on bullying and respect in the workforce. A detailed survey will help to pinpoint the source of bullying (colleagues, managers, customers, Councillors, etc...) and the types of incidents or behaviours that are considered unacceptable, as well as exploring why reporting of bullying does not match the perception identified through the main survey.	Feedback supports the Corporate Team running a survey with Staff Council involvement	TBC depending on resource available	All staff should be treated fairly and with respect at work and not be subject to discrimination, bullying or harassment so this survey will help identify staff concerns about behaviours contrary to this and how situations could be addressed more effectively. This will help us to review our policies and procedures to ensure that they support our zero tolerance approach, as well as showing that it is safe to challenge the way things are done.
SMT to continue delivering messages on zero tolerance of discrimination, bullying and harassment to maximise awareness.	SMT	Ongoing	This will increase awareness that unacceptable behaviours will not be tolerated so should help to ensure that all instances are reported and dealt with.
Commission awareness training for staff on bullying and harassment.	Corporate Team / LGSS	February 2016	This will help staff to identify which behaviours are unacceptable and not to be tolerated, encouraging staff to report all instances so they can be dealt with.
Implement the Staff Suggestion/Questions Scheme we have committed to introducing. Encourage staff to give their views and ask questions. <i>Note: name for new scheme to be set shortly.</i>	Corporate Team	February 2016	This will give staff the opportunity to challenge how things are done and have their ideas listened to and questions answered. Good ideas may help to improve team performance, raise service standards or lead to efficiency savings.
Ensure agendas, FAQs and minutes/action notes for Meet SMT sessions are shared with staff before and after each session.	Corporate Team	Meet SMT meetings in March, June, September & December	Provides opportunity for those who are unable to attend sessions to see what will be discussed and the outcomes. Agendas will help staff to assess if they need to find time to attend during busier workload periods depending on relevance to their interests.
Share agendas, presentations and minutes from bi-monthly Management Team meetings with all staff.	Corporate Team	January 2016	To ensure that messages disseminated by managers are understood throughout the organisation.

Action	Who?	When?	What is the intended goal?
Introduce new process for acknowledging employees reaching long service milestone anniversaries.	Corporate Team	April 2016	Currently the only formal recognition of long service is for those staff retiring after 25 years. Recognition for existing staff who have worked for the Council for a long time is considered important. Even a card as an acknowledgement can have a great impact. A new process is being developed to replace long service awards from 1 April 2016.
Develop a mechanism or mechanisms for recognition of achievements. Suggestions include an employee of the month scheme to recognise success/examples of a job well done. Less formal ways of doing this include Jo's Blog and items in Key Issues.	SMT	April 2016	This will recognise good performance, motivate staff and help ensure employees feel valued and inspired to do the best in their jobs. <i>Note: while some staff support the idea of formal recognition schemes, there are others who disagree with introducing a formal 'award'-type approach to recognising good work. This action was removed from last year's action plan as it was considered divisive so it is recommended that further views should be sought from staff on whether to proceed with this before a scheme is established.</i>
Adopt a more positive feedback approach, recognising a job well done and saying "Thank you". Encourage all team members to comment if someone performs well.	Managers and all staff and District Councillors	Immediately	Although measuring this action directly will not be possible, it is hoped that this will have a positive impact on several questions in the Employee Opinion Survey. This action should be adopted by officers and Members at all levels to make our staff feel more appreciated and encourage a positive work environment.
Liaise with LGSS to improve training and support given to managers in managing performance issues.	Corporate Team	April 2016	This is intended to improve consistency in how performance issues are managed across the organisation. While policies are set out and reviewed regularly, managers who have not previously used them may need some help applying them and setting targets.
Increase team engagement with the Corporate Plan. Clearly communicate our vision, strategic themes and outcomes to all employees.	Corporate Team	April 2016	This will increase understanding of our aims and objectives and how staff contribute to them. A new Corporate Plan will be taken to Council for approval in March 2016. Services have been involved in developing the new Plan and are expected to show links between their Service Plans and Corporate Plan objectives. Employees should clearly see the relevancy of their jobs within their Service Plans.
Communications Champions – selected to represent their service area, this group of staff regularly meet with the Communications Team to discuss both internal and external communications feedback and ideas.	Corporate Team / Comms Champions	Ongoing – annual review due to take place in 2016/17	A network of Communication Champions across each service will be maintained by the Communications Team. These volunteers meet regularly with the Communications Team to discuss ideas for Staff Bulletin and Key Issues and also share information in advance of any external media requirements, messages, and campaigns. They discuss communications related ideas for both internal and external messages. The use of Signal Audits will be considered to check that messages are getting through correctly.
Share information on staff changes (e.g. new appointments, restructure changes) through Key Issues in addition to the details of new starters and leavers currently published.	Corporate Team / LGSS	February 2016	This is intended to ensure that staff are aware of a wider range of changes to posts within the organisation. Where roles are changed or employees change jobs, this will help to ensure that staff are up to date about who to contact in each service area.

Action	Who?	When?	What is the intended goal?
Invite SMT members to attend Service Meetings to encourage SMT and staff to communicate outside of Meet SMT Sessions.	Management Team	Immediately	This will increase visibility of members of the new Senior Management Team and provide opportunity for SMT to openly discuss issues with all employees and keep staff informed about matters that affect them and changes happening across the Council.
Teams to record actions agreed at team meetings and report back on progress made.	Management Team	Immediately	This will ensure that commitments made are followed up. Clear actions arising from team meetings will help to demonstrate the value of these meetings in sharing information and discussing relevant matters. A standard template will be drafted.
Encourage SMT members and senior Members to spend more time experiencing what teams do and visiting other parts of the Council. <i>Note: This is not currently recorded formally (should it be?)</i>	SMT / Management Team	Immediately	While this happened on an ad-hoc basis last year, staff attending focus groups did not recognise a significant increase in visibility of SMT members outside their services. Putting in place a planned programme of activity may help to increase the visibility of SMT, give them a greater understanding of the jobs that staff are doing and provide more opportunities to engage with SMT. Some in the focus group had never seen Councillors at their place of work, including Executive Councillors for their services.
Review the quality of service and team meetings to ensure relevant matters are discussed at appropriate times and the correct messages are being given and understood.	SMT / Comms Champions / Culture and Compliance Officer Board	Meetings to be scheduled after Meet SMT on 30-31 March, 21-24 June, 28-29 Sept & 12-15 Dec	There was an action last year to ensure that regular meetings took place and allowed feedback and discussion on corporate issues. Views from the focus group and survey responses suggest that meetings are generally taking place but that the quality varies significantly. Ensuring greater consistency of information shared at such meetings will keep staff informed about matters that affect them and changes happening across the Council. Meetings should be arranged around Meet SMT and Management Team meetings and the Culture and Compliance Board will consider setting standards that must apply to all. This should be a theme covered in management training.
Review service intranet sites to keep content up to date and improve ease of use.	Management Team	Immediate and ongoing	Most sites contain very limited information about the services provided and the information published is often out of date (e.g. contact names, locations). Basic details would help increase understanding and encourage greater sharing of information. Out of date information should be deleted. Communications Champions could play a role in overseeing reviews and updates to information on each service's sites.
Operations to set up an Operations Forum that will meet monthly. Each work area will nominate a colleague to attend the meetings and they can submit items for the agenda. The Staff Council representative will also be standard invitees to the meeting and be asked to chair the meeting. The Operations Management Team will all be in attendance to respond to issues raised.	Operations Management Team / Staff Council	February 2016	Employee Opinion Survey results were worse than the Council average for over 80% of the questions asked. Specific actions may be needed to address the issues specific to the service or to individual teams. The Operations Forum will help understanding of the problems and encourage staff and management to work together to deliver improvements.

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Public

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter:	Grievance Policy
Meeting/Date:	3 February 2016
Executive Portfolio:	Councillor S Cawley - Executive Councillor for Organisational Change and Development
Report by:	Anna Marsh – Lead HR Manager (LGSS)

Executive Summary: To present a revised Grievance Policy to Employment Panel for endorsement.

1. PURPOSE

- 1.1 Huntingdonshire District Council (HDC) recognises that employees may have, from time to time, concerns, problems or complaints about the action or behaviour of a manager or colleague or about the application of a Council policy or procedure. The Grievance procedure is a mechanism for employees and managers to resolve issues in a fair and timely manner without fear of reprimand.

This policy aims to:

- encourage employees to raise issues as they arise so that they can be resolved quickly and effectively, preventing these from developing into more serious disputes that have a negative impact on service delivery., and
- resolve conflict constructively for the benefit of employees, their managers and service delivery.

This Policy has been developed by the LGSS HR Advisory team through the use of HDC attended focus groups and the input from Staff Council, which has allowed it to be flexible to meet the needs of the different services within HDC.

2. BACKGROUND

- 2.1 The existing HDC Grievance Policy required updating to ensure a more responsive process for resolving employees' concerns.

3. KEY IMPACTS

- 3.1 Members' attention will be drawn to the changes to HDC Grievance Policy at the meeting and the rationale for the amendments and additions will be provided.

4. WHAT ACTIONS WILL BE TAKEN FOR IMPLEMENTATION

- 4.1 Following endorsement from the Employment Panel, this policy will be communicated with employees and managers.

5. CONSULTATION

- 5.1 The HR team have engaged with Staff Council and employees by means of a focus group and their comments have been taken into account in the final version of the policy.

6. OTHER IMPLICATIONS

- 6.1 An Equality Impact Assessment will be completed before implementation, once the final policy is agreed.

7. LIST OF APPENDICES INCLUDED

Appendix 1 - Grievance Policy

Recommendation(s):

Employment Panel are asked to endorse the Policy and its implementation.

Contact Officer:

Anna Marsh, Lead HR Manager (LGSS)
☎ 01480 388482

Grievance Policy and Procedure

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1 Policy Statement

- 1.1 Huntingdonshire District Council (HDC) recognises that employees may from time to time have concerns, problems or complaints about the action or behaviour of a manager or colleague or about the application of a Council policy or procedure. The grievance procedure is a mechanism for employees and managers to resolve issues in a fair and timely manner without fear of recrimination.

2 Scope

- 2.1 Employees are able to use this procedure in relation to matters that arise from their employment, which directly affect them as individuals/as a group of individuals.

The grievance procedure **cannot be used**:

- Where an appeals mechanism exists e.g. appeal against formal disciplinary action
- To complain about the actions of employees, managers, contractors that do not directly affect the employee (the Whistleblowing Procedure applies in these situations)
- To raise concerns about the treatment of service users/customers
- To raise issues about a councillor's conduct - these should be raised directly with the Monitoring Officer.
- To dispute the performance management procedure if this is being applied fairly and professionally.
- To dispute an appraisal rating - the appraisal scheme details the process that should be followed.

- To raise issues relating to a personality clash with a line manager or another employee.
- To raise issues of alleged bullying and/or harassment, as it should be raised using the Council's Dignity at Work Policy.

3 Principles and Timescales

- 3.1 The Council encourages its employees to raise issues as they arise so that they can be resolved quickly and effectively, preventing them from developing into more serious disputes that have a negative impact on service delivery. Employees and managers should strive, at all stages of the procedure, to constructively resolve the issue(s) raised.
- 3.2 Every effort must be made by all parties to resolve the grievance within the indicative timescales described in this procedure. This is to avoid undue stress and concern to those involved and to limit any negative impact on service delivery. The following principles should be adhered to whilst working to this policy:
- 3.3 An employee must always attempt to resolve an issue via the informal resolution stage in the first instance. An issue cannot be raised as a formal grievance until the informal stage has been exhausted.
- 3.4 Managers dealing with grievances must be impartial and listen carefully to the complaint with an open mind. It is not appropriate for a manager to consider a grievance if the grievance is against him or her, or there is a conflict of interest.
- 3.5 Where the grievance relates to the conduct/behaviour of another employee he/she has the right to be told the details and to respond to any allegations made. In certain circumstances, however, (for example criminal investigations) some information may be withheld at the discretion of the manager.
- 3.6 Confidentiality will be maintained at all times. Information will be shared only with those necessary to resolve the grievance.
- 3.7 If an employee raises a grievance that proves to be vexatious or malicious he/she may be subject to disciplinary action.
- 3.8 The Council will not give financial compensation and this cannot be considered as a desired outcome at any stage of the procedure.
- 3.9 It is not appropriate to make an audio recording of the any of the meetings during the grievance procedure.
- 3.10 Where the concern/complaint affects a group of employees, the group should nominate a spokesperson. This spokesperson can be one of the affected employees or a jointly chosen colleague, member of Staff Council or a trade union representative.
- 3.11 Complaints or concerns in relation to incidents older than 12 months cannot be raised by using the Grievance Procedure.
- 3.12 The same/related grievance cannot be raised within 12 months of the resolution, outcome or withdrawal of the same grievance – however an employee may ask for a grievance to be revisited if specific follow up actions agreed as part of the original grievance have not been carried out.

4 Grievance Procedure

- 4.1 The grievance procedure has two phases, comprising of both informal and formal processes. Wherever possible the aim will be to find a solution using the first phase of the procedure, the informal resolution.
- 4.2 On occasions where grievances cannot be resolved informally, the grievance will be moved to the formal grievance procedure. The formal procedure comprises of three stages and includes a provision for employees to appeal.

These are the different stages of the grievance procedure:

1. Informal resolution
2. Formal grievance
 - Making the complaint –Grievance notification form
 - Grievance meeting
 - Outcome
3. Grievance appeal

This policy applies to all Council employees.

5 Informal resolution

- 5.1 The employee should first raise any issue with his/her line manager. If the grievance relates to the line manager, the employee should discuss this with their manager's line manager. Day-to-day issues will normally be resolved through dialogue between the employee and his/her line manager. This will be more effective if the employee raises the issue as soon as possible.
- 5.2 A meeting between the line manager and the employee will allow them to discuss the issue on a one-to-one basis outside of the formal grievance procedure. The line manager and the employee will discuss the facts of the situation and attempt to find a satisfactory solution as quickly as possible within seven working days from the date the complaint was raised.
- 5.3 At this stage neither the complaint nor the response are required to be put in writing. There is no right to representation; however an employee may be accompanied by a work colleague who will provide moral support only. A brief file note, detailing the outcomes agreed may be taken, if requested by either party, and acknowledged by both parties as correct.
- 5.4 If required at this stage, both parties may be given the opportunity to undertake an independent mediation session/s – see information on mediation. Mediation will only be used if all parties involved in the grievance agree. Mediation involves the appointment of a third-party mediator arranged by Human Resources, who will discuss the grievance matter with all those involved and seek to facilitate an outcome.

6 Formal Grievance Procedure

- 5.5 An employee may raise a formal grievance only if it has not been possible to resolve an issue directly i.e. when the informal resolution stage has been fully exhausted.

6.1 Making the complaint

- 6.1.1 To initiate a formal grievance the employee will complete the Grievance Notification Form and email or give this to his/her line manager. The covering email or letter should clearly state that this is a formal grievance. If the grievance is in relation to the line manager, it should be sent to their manager's line manager. The Grievance Notification Form prompts the employee to include all of the relevant details to allow an issue to be effectively resolved. The employee should give an indication of the outcome/resolution he/she is seeking to reach. The Grievance Notification Form will be shared with others as part of the grievance procedure therefore he/she is advised to remain factual and avoid writing statements that might be offensive to others or that cannot be substantiated.
- 6.1.2 Upon receipt of a Grievance Notification Form, the manager should acknowledge the formal grievance within seven working days of receipt and seek advice from the HR Advisory Team regarding arrangements for resolving it.
- 6.1.3 The HR Adviser will work with the manager to select an appropriate person to consider the grievance. Normally the grievance will be dealt with by the employee's line manager, or the line manager's manager. In instances where this is not appropriate HR Advisory will give further advice.
- 6.1.4 Prior to holding a formal grievance meeting both parties may agree to undertake an independent mediation session/s – see section nine on mediation.

6.2 Grievance Meeting

- 6.2.1 If the informal stage has been completed, the manager will arrange to meet with the employee as soon as possible, ideally within seven working days, to fully understand the facts of the employee's grievance. This grievance meeting is the employee's opportunity to explain his/her complaint and to state how he/she considers the issue could be resolved. The employee has a right to be accompanied and/or represented by a member of Staff Council, a trade union representative or a work colleague of his/her choosing.
- 6.2.2 The manager will lead the grievance meeting and be supported by an HR Adviser. The manager should:
- Listen to the employee's concerns and clarify the key issues
 - Explore the facts of the situation
 - Clarify who else he/she needs to speak to
 - Consider options to resolve the issue to the satisfaction of the employee, any resolution must be in line with effective service delivery and cannot be decided until the matter has been discussed with the manager to seek his/her views.
- 6.2.3 In most cases it will not be possible to resolve the issue immediately and therefore the grievance meeting should be adjourned to allow the manager to:
- Confirm relevant facts
 - Speak to any relevant witnesses (witness statements will be taken to document discussions)
 - Where the grievance meeting is adjourned it should be reconvened with minimum delay, ideally within 10 working days. Where this is not possible, employees will be kept informed by the manager as to progress.

6.3 Outcome

- 6.3.1 Following the grievance meeting, the manager must decide if the grievance is/is not upheld. Where the grievance is upheld the manager should make recommendations as to how the issue can be resolved. Follow up actions should, where possible, look at any preventative measures that can be implemented. Any measures put in place need to be in line with effective service delivery and therefore may need to be discussed with the relevant team/service manager.
- 6.3.2 The manager will produce a written grievance summary. This will detail what the initial issue was, the facts that have been established, the decision that was made and the recommended follow up actions.
- 6.3.3 The manager will arrange to meet with the employee to inform him/her of his/her decision within seven working days from the grievance meeting, where possible. If this is not achievable the manager will keep the employee up to date with progress and possible timescales. The employee will receive a copy of the Grievance Summary.
- 6.3.4 Where the grievance related to the conduct/behaviour of another employee the manager, with advice from the HR Adviser, will decide whether it is appropriate for that individual to receive a copy of the Grievance Summary. In some cases, it may be appropriate to adapt the content for sharing e.g. where the grievance had covered a number of issues only the part relevant to the third party will be shared.

7 Grievance appeal

- 7.1 The purpose of the grievance appeal is to decide whether the formal grievance procedure was followed correctly and whether the outcome was reasonable and proportionate to the facts established i.e. this is not a reconsideration of the original issue.
- 7.2 To initiate an appeal the employee, within five working days of receiving the Grievance Summary, . needs to put in writing to the next level of management, normally the Head of Service that they wish to appeal the grievance. An email will suffice but the notice must clearly state that this is a grievance appeal and detail how he/she considers the grievance procedure has not been correctly applied or how the outcome was not reasonable or proportionate.
- 7.3 The grievance appeal must be heard with the minimum possible delay, ideally within 10 working days of the formal grievance meeting with the manager.
- 7.4 The grievance appeal will be heard by the line manager of the manager who dealt with the formal grievance. Where this is not appropriate please seek advice from HR Advisory.
- 7.5 The manager considering the grievance appeal will:
- Clarify with the employee what aspect of the grievance procedure has not been correctly applied or how the outcome is considered unreasonable.
 - Review the grievance summary and ask questions of the manager.
- 7.6 The manager considering the appeal will be advised by an HR Adviser. On considering all of the information presented he/she will make a decision as to whether the grievance procedure has been properly applied and whether the original outcome/resolution was appropriate.
- 7.7 The decision will be delivered either after immediate consideration at the meeting or within five working days of the meeting. The decision will be confirmed in writing to the employee as soon as possible. The decision of the manager considering the appeal is final.

8 Records

- 8.1 Informal resolution stage - no written record will be retained on individual personal files. However, the employee and manager may agree a file note to be kept by the manager and employee.
- 8.2 Formal Procedure - the HR Advisory team will keep a record of the number of Formal Grievances and Grievance Procedural Appeals. A copy of the email/ letter to the employee confirming the outcome of the grievance meeting and/or grievance procedural appeal will be placed on his/her personal file

9 Mediation

- 9.1 An employee can ask his or her Line Manager to participate in mediation. Mediation is a voluntary process, agreed by both parties whereby an independent mediator helps two or more people in dispute to attempt to reach an agreement. The agreement comes from those in dispute not from the mediator. The mediator will have had no prior involvement in the grievance. Mediation can be used at any stage of the grievance process. This will mean that any formal procedures are halted whilst the mediation route is pursued. If mediation is unsuccessful, the process will revert to the stage reached prior to mediation.
- 9.2 Managers who receive a request to participate in mediation should contact HR Advisory to arrange mediation.

10 Right to be accompanied

- 10.1 At the formal stage of the grievance procedure employees have the right to be accompanied and/or represented at any stage of the formal grievance procedure. Employees may be accompanied by a trade union representative, a representative of the Staff Council or another work colleague of their choosing. The employee must decide whether their companion will act as a representative or if he/she will act as a companion. It is the responsibility of the employee to ensure that the chosen representative is available to attend the meeting and to meet any associated costs.
- 10.2 A representative is allowed to address the hearing to put the employee's case, sum up that case and respond on the employee's behalf. S/he can also confer with the employee during the hearing. However a representative is not permitted to answer questions on behalf of the employee, and must not prevent the employer from explaining their case or prevent any party making their contribution.
- 10.3 The choice of companion should be reasonable given the circumstances of the case - it would not be reasonable to be accompanied by a colleague whose presence would prejudice the hearing or who might have a conflict of interest, and this will not be permitted.
- 10.4 At least three working days before the hearing, the employee should inform the HR Adviser of who she/he has chosen as a representative/companion.

11 Links to the disciplinary procedure

- 11.1 There are scenarios in which the grievance and disciplinary procedures may be linked:

- An employee raises a grievance as a direct result of disciplinary action being taken against him/her – the grievance should be dealt with through the appeal mechanism within the Disciplinary Procedure and not through the Grievance Procedure.
- An employee raises a grievance at the same time as misconduct is alleged against him/her and the two issues are not related in any way – in these circumstances the two issues should be dealt with simultaneously and be treated separately following the two different procedures.
- An employee raises a grievance that leads to the investigation of another employee or manager under the Disciplinary Procedure – in these circumstances the employee who raised the grievance will be expected to act as a witness in any disciplinary investigation.

12 Former employees

- 12.1 Following the ACAS Code of Practice, the Council is not obliged to hear grievances from former employees. The grievance procedure focuses on resolving issues raised by current employees.
- 12.2 When an employee raises a grievance just before leaving employment with the Council, there may be insufficient time for the grievance to be heard and/or resolved. In these circumstances the Council will deal with the complaint/concerns via the exit procedure – asking the employee to detail the issues in the exit questionnaire and offering an exit interview. The grievance procedure will not be appropriate in these cases. Issues highlighted in an exit questionnaire or exit interview will be followed up as appropriate despite the employee having left the organisation.

13 Management of the grievance procedure

- 13.1 Normally a formal grievance will be dealt with by the employee’s line manager. If this is not appropriate it will be investigated by the line manager’s manager. In instances where this is not appropriate please seek advice from HR Advisory.
- 13.2 The grievance appeal will normally be heard by the line manager of the manager who dealt with the formal grievance supported by a member of the HR Advisory Team.

14 Advice and Support

- 14.1 The Council employs a confidential First Contact Listening service, a small team of employee volunteers who have received training in basic listening skills. Whilst they are not trained counsellors, they are able to listen to employees who may feel they need to talk through either a work related or personal problem. There is also the Counselling Service and Employee Well-being Scheme available to all employees. Please contact HR for details.
- 14.2 Should any aspect of the grievance process cause difficulty because of a disability, language barriers or other difficulties, the Council has Staff Council representatives, trade union representatives, work colleagues and HR Advisory who are available to provide necessary help or assistance.

15 Further information

- 15.1 Managers needing further information on how to apply this policy should contact the HR Advisory Team

Name of Policy	Grievance Policy and Procedure
Person/posts responsible	Lead HR Manager
Date approved/adopted	
Approved by	

Public

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter:	Grievance Policy
Meeting/Date:	3 February 2016
Executive Portfolio:	Councillor S Cawley - Executive Councillor for Organisational Change and Development
Report by:	Anna Marsh – Lead HR Manager (LGSS)

Executive Summary: To present a revised Disciplinary Policy to Employment Panel for comment.

1. PURPOSE

- 1.1 Huntingdonshire District Council (HDC) are committed to the effective management of conduct at work to ensure the efficient provision of services and the safety and well-being of employees and the general public.
- 1.2 The disciplinary procedure provides managers with a framework to address alleged breaches of expected standards of conduct as detailed in the Code of Conduct and the Disciplinary Rules.

This principles of the policy are:

- based on the concepts of ‘natural justice’;
- to ensure both fairness and equitableness in applying the policy;
- to allow employees to be informed of the complaint against them, as soon as is practicable, and to be given an opportunity to state their case before decisions are reached, and
- to clarify employees’ right to be accompanied and/or represented at all formal stages of the process (except when being suspended);

This policy has been developed by the LGSS HR Advisory team through the use of HDC attended focus groups and the input from Staff Council, which has allowed this policy to be flexible to meet the needs of the different services within HDC.

2. BACKGROUND

- 2.1 The existing HDC Disciplinary Policy requires updating to ensure a well-defined process exists for dealing with issues of alleged breaches of expected standards of conduct as detailed in the Code of Conduct and the disciplinary rules.

3. KEY IMPACTS

- 3.1 Members’ attention will be drawn to the changes to HDC Disciplinary Policy at the meeting and the rationale for the amendments and additions will be

provided.

4. WHAT ACTIONS WILL BE TAKEN FOR IMPLEMENTATION

4.1 Following endorsement from the Employment Panel, this Policy will be communicated with employees and managers.

5. CONSULTATION

5.1 The HR team have engaged with Staff Council and their comments have been taken into account in the final version of the policy.

6. OTHER IMPLICATIONS

6.1 An Equality Impact Assessment will be completed before implementation, once the final policy is agreed.

7. LIST OF APPENDICES INCLUDED

Appendix 1 -- Disciplinary Policy

Recommendation(s):

Employment Panel are asked to endorse the Policy and to approve its implementation.

Contact Officer:

Anna Marsh, Lead HR Manager (LGSS)
☎ 01480 388482

Disciplinary Policy and Procedure

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1 Policy Statement

- 1.1 Huntingdonshire District Council is committed to the effective management of conduct at work to ensure the efficient provision of services and the safety and well-being of employees and the general public.
- 1.2 The disciplinary procedure provides managers with a framework to address alleged breaches of expected standards of conduct as detailed in the Code of Conduct and the Disciplinary Rules. See Appendix One for the Disciplinary Rules and links to the Code of Conduct.

2 Scope

- 2.1 This policy applies to all Council employees, except Statutory Officers (Head of Paid Service, Section 151 Officer and Monitoring Officer), where separate arrangements apply as detailed in the Disciplinary Policy for Chief Officers.
- 2.2 For employees subject to the probation period, this policy does not apply, unless in cases of gross misconduct or gross incompetence. Other incidents of misconduct that arise during the probation period will be addressed using the probation policy.

3 Principles

3.1 This policy is based on the concepts of 'natural justice' meaning all staff will be treated fairly and without bias.

Employees can expect:

- To be informed of the complaint against them, as soon as is practicable, and to be given an opportunity to state their case before decisions are reached;
- No disciplinary action to be taken until reasonable efforts have been taken to establish the facts;
- To be notified of their right to be accompanied and/or represented at all formal stages of the process (except when being suspended);
- This procedure to be applied fairly in all instances and for all disciplinary matters to be heard in a calm and objective manner with the outcome being both fair and equitable.

4 Responsibilities

4.1 ***Managers must***

- Ensure all employees are made aware of the expected standards of behaviour as specified in the Disciplinary Rules and Code of Conduct. To do this a manager must provide appropriate induction, supervision and training.
- Ensure all employees are made aware of any service specific rules or practices, for example sickness reporting deadlines for shift workers.
- Ensure service specific rules are reviewed regularly and any necessary changes communicated.

4.2 ***Employees must***

- Comply with the Disciplinary Rules and Code of Conduct. Any local rules that apply to their role will be explained to the employee by his/her line manager.
- Ask for clarification if unsure what standards of conduct are expected.
- Co-operate fully in any disciplinary investigation.

5 Informal disciplinary procedure

- 5.1 Cases of minor misconduct should be dealt with informally. A line manager should discuss the issue informally with the employee as it arises either in a supervision session or a separate discussion. This is part of the normal day-to-day management and does not form part of the formal disciplinary procedure.

The manager needs to set out the concerns, outline how the expected standards are not being met, and remind the employee of the standard of conduct required. The manager should explain that if a satisfactory explanation is not evident the issue is likely to be considered under the formal disciplinary procedure.

5.2 Written management instructions

To avoid any differences in interpretation the manager should consider issuing the employee with a written management instruction, this summarises what has been discussed. Management instructions do not constitute a formal written warning and are not part of the formal disciplinary procedure.

Management instructions should be set out in writing. An email is acceptable providing it clearly states that it is a written management instruction. All management instructions should state that the letter/email constitutes the informal stage of the disciplinary procedure and that failure to comply may result in formal disciplinary action.

The employee will be sent a copy of the management instruction and a copy should be kept on the employee's file. Management instructions remain valid for a period of 12 months. Copies of written management instructions or notes of informal discussions may be referred to in a subsequent disciplinary hearing, but only if they are relevant and current i.e. they have been written in the 12 months prior to an issue recurring.

6 Formal disciplinary procedure

- 6.1 This will be applied where the employee does not respond appropriately to informal action or the line manager believes that a breach of conduct may have occurred that is too serious to be dealt with informally.

The table below outlines details about conducting disciplinary meetings in line with the procedure:

Employee Group	Investigatory Meeting(s)	Disciplinary Hearings	Appeal (excluding dismissal)	Appeal against dismissal
Grade A – F	A Manager* or designated officer **	A Manager* or Senior Management Team	Senior Management Team	As outlined in the Appeals Against Dismissal Policy

Grades G-I	Member of Senior Management Team or designated officer **	Member of Corporate Management Team or designated officer**	Member of Corporate Management Team	As outlined in the Appeals Against Dismissal Policy
Grade SM	A member of Corporate Management Team or designated officer**	Member of Corporate Management Team	Appeals Panel as detailed in the Council's Constitution	Appeals Panel as detailed in the Council's Constitution
Grades AD and MD	As detailed in the Council's Constitution			

* A Manager defined in this instance is responsible for an activity and employees and reports directly to a member of Senior Management Team.

** A Designated Officer is an employee who will be requested to carry out investigations on behalf of a member of Corporate Management Team

7 Suspension

7.1 In certain situations, it will be necessary to suspend an employee from duty on full pay. A decision to suspend will be taken following appropriate consideration of the nature of the allegation and appropriate consideration of the risks involved. Suspension is not disciplinary action but a precautionary measure designed to protect the Council's interests and the employee, whilst allowing time for a thorough investigation to be undertaken. Suspension is not, and will not be, seen as an assumption of guilt or a disciplinary sanction.

7.2 An employee will be suspended from work at the earliest opportunity in cases where:

- It appears there may have been a serious breach of conduct that could amount to gross misconduct or gross incompetence OR
- It is considered to be in the best interests of the Council and/or the employee for him/her not to be at work during an investigation;

7.3 An employee does not have the right to prior notice that he/she is to be suspended, to be represented/accompanied when being suspended or appeal against the decision to suspend.

7.4 The decision to suspend should be taken and carried out as follows:

Employee Group	Responsible for Suspension
Grades A – F	Manager* or designated officer**
Grades G – I	Member of Senior Management Team or

	designated officer**
Senior Management Team and Statutory Officers	Senior Officers Panel***

*** Senior Officers Panel is a member body as defined in the Constitution

With the exception of members of Senior Management Team and Statutory Officers, or in situations where the level of management is not available, suspension may be carried out by the most senior manager on duty at the site when the allegation is reported/comes to light, or by a member of the relevant service management team.

- 7.5 A suspension will only be carried out after careful consideration. Every effort will be made to conduct an investigation as soon as possible and minimise the length of the suspension. The details of the suspension will be confirmed in writing within three working days of the suspension meeting. Further information on suspensions is available in the toolkit.
- 7.6 If the matter is subject to a police investigation, the Council reserves the right to continue with the disciplinary process and not await the outcome of the police investigation.

8 Investigation

The investigation will involve carrying out fact finding meetings with the employee concerned and other persons as felt appropriate. The purpose of these meetings is to establish facts, gather information to help substantiate those facts and ultimately to determine whether there are sufficient grounds to hold a disciplinary hearing.

8.1 Investigation process

- 8.1.1 The investigation should be carried out by the employee's line manager or another Manager or Designated Officer (as outlined in section 6.1). Written records of the investigation will be kept for later reference.
- 8.1.2 The employee will be given at least 24 hours verbal notice of any investigatory interview, will be informed of the allegations against him/her, and will have the right to be accompanied by a Staff Council or Union representative or work colleague. The investigatory interview is not a disciplinary hearing. In certain cases, there may have to be more than one interview, e.g. to follow up on evidence obtained from other witnesses or to clarify certain points.
- 8.1.3 Employees are required to attend investigatory interviews and to co-operate with the fact finding process.
- 8.1.4 The investigating manager may be assisted by an HR Adviser in an investigation. In certain cases more than one person may need to assist the investigating manager e.g. financial, legal, IT cases where specialist knowledge is required.

- 8.1.5 All parties will ensure that confidentiality is maintained at all times, and that the name of the employee involved will remain anonymous wherever possible. Any breaches of confidentiality may lead to disciplinary action.
- 8.1.6 Witnesses may be employees or non-employees. In exceptional circumstances, with the prior agreement of the investigation manager, a witness may be accompanied by a Staff Council, Union representative or work colleague who will provide moral support only. An employee is responsible for arranging his/her own witnesses and meeting any associated costs.
- 8.2 Outcome of investigation**
- 8.2.1 The investigating manager may conclude, after consultation with an HR Adviser, that there are:
- No grounds for believing that a breach of conduct has occurred, therefore the disciplinary procedure will be concluded; OR
 - Grounds for believing that a breach of conduct has occurred but that it is of a minor or less serious nature than originally believed, in which case the formal disciplinary process will end and the matter dealt with by informal action, i.e. day to day management and/or by issuing a written management instruction; OR
 - Grounds for believing that a breach of conduct has occurred and that formal disciplinary action may be necessary, therefore a disciplinary hearing should be arranged.
- 8.2.2 Guidance on how to undertake an investigation is available in the toolkit.

9 Right to be accompanied

- 9.1 The employee has the right to be accompanied and/or represented at any stage of the formal disciplinary procedure, except when being suspended. Employees may be accompanied by a Staff Council representative, a trade union representative, or a work colleague of their choosing. The employee must decide whether their companion will act as a representative or if he/she will act as a companion.
- 9.2 A representative is allowed to address the hearing to make the employee's case, sum up that case and respond on the employee's behalf. He/she can also confer with the employee during the hearing. However a representative is not permitted to answer questions on behalf of the employee and must not prevent the employer from explaining their case or prevent any party making their contribution
- 9.3 The choice of companion should be reasonable given the circumstances of the case - it would not be reasonable to be accompanied by a colleague whose presence would prejudice the hearing or who might have a conflict of interest and this will not be

permitted. It is the responsibility of the employee to arrange his/her companion and to meet any associated costs.

- 9.4 At least three working days before the hearing, the employee should inform the HR Adviser of who he/she has chosen as a representative/companion.

10 Prior to the disciplinary hearing

- 10.1 The employee will be given a minimum of five working days written notice of the hearing. This may be varied by mutual agreement, but must not be less than five working days.
- 10.1.1 Details of any evidence to be relied upon/witnesses to be called will be sent to the employee.
- 10.1.2 The employee has the right to refer to written information and call witnesses at the hearing, details must be submitted by the employee at least three working days before the hearing.
- 10.2 The investigating manager or the employee may request a meeting with the other party in advance of the hearing to establish which facts can be agreed and which evidence, if any, can be presented as uncontested to the hearing chair. The purpose of agreeing evidence is to allow the hearing to concentrate on the key issues under dispute. Both parties may agree that certain witnesses are not required to attend the hearing e.g. if their evidence is uncontested. The investigating manager may be accompanied by an HR Adviser. The employee has the right to be accompanied by a Staff Council or Union representative or work colleague.

11 Disciplinary hearing

- 11.1 Process: The disciplinary hearing will be conducted by an authorised manager who has not played any part in the investigation. The chair will be advised by an HR Adviser.
- 11.2 Witnesses: Witnesses may be employees or non-employees. In exceptional circumstances, with the prior agreement of the chair, a witness may be accompanied by an independent person of his/her choice who will provide moral support only. An employee is responsible for arranging his/her own witnesses and meeting any associated costs
- 11.3 New evidence: If new evidence (written information and/or witnesses) is introduced at the disciplinary hearing the reasons why the details were not submitted in advance of the hearing must be explained. If new evidence is presented, the chair conducting the hearing will take a view on whether to allow it and an adjournment may be necessary to allow time for consideration and/or further investigation.
- 11.4 Employees are expected to attend a disciplinary hearing. If the employee is unable to attend the disciplinary hearing, he/she must inform the relevant investigating manager.

- 11.4.1 Where an employee has unavoidably been unable to attend the disciplinary hearing the employee will be given reasonable notice of a second hearing date. Hearings will also be rearranged in situations where the reason for the failure to attend was unforeseeable e.g. sudden illness.
- 11.4.2 If the employee is unable to attend the reconvened hearing it will normally proceed in his/her absence but with his/her representative being given the opportunity to present the employee's case on his/her behalf. In such cases it will also be possible for the chair to accept for consideration a written statement from the employee or his/her representative.
- 11.4.3 The only time when the above process will not apply is where an employee confirms to the investigating manager that he/she has no intention of attending any disciplinary hearing. In this situation, the hearing will usually proceed in the employee's absence.
- 11.4.4 If the employee's representative/companion cannot attend on a proposed date a further date, no more than five working days after the date originally proposed will be suggested. This five working day time limit may be extended by mutual agreement. A hearing will usually only be rescheduled once.

12 Decision

- 12.1 The chair of the hearing will consider all of the evidence presented and then decide if there has been:
- No breach of conduct and that the disciplinary procedure should be concluded; OR
 - A breach of conduct, but it is not serious enough to warrant formal disciplinary action and/or mitigating circumstances have been taken into account and it can be dealt with appropriately by informal action, e.g. by day to day management and/or by issuing written management instructions; OR
 - A breach of conduct which is sufficiently serious to warrant formal disciplinary action.
- 12.2 The decision of the Chair conducting the hearing will normally be given to the employee verbally at the end of the hearing – he/she will confirm the outcome of the disciplinary hearing in writing within five working days of the hearing.

13 Disciplinary action

- 13.1 There are three levels of disciplinary action. The level of disciplinary action issued will depend on the seriousness of the misconduct and whether the employee is subject to a current warning for misconduct.

13.2 **First written warning**

Issued where there has been a repeated minor misconduct OR a breach of conduct of a more serious nature, which does not justify a final written warning or dismissal.

13.3 **Final written warning / First and final written warning**

Issued where:

- There is a further breach of conduct whilst a first written warning is still current; OR
- A breach of conduct is found to be of such a serious nature that it cannot be tolerated a second time, but is not serious enough to be categorised as gross misconduct (this will be termed a 'first and final' warning); OR
- An act of gross misconduct is found, but exceptional mitigating circumstances are taken into account (also termed a 'first and final' warning).

13.4 **Dismissal**

An employee may be dismissed:

- With notice if he/she is subject to a final or first and final written warning and a further act of misconduct is found (contractual notice may be paid in lieu); OR
- Without notice (summarily) if gross misconduct is found and there are no mitigating circumstances to justify a lesser penalty.

13.4.1 Where an employee has been dismissed from a post working with children or vulnerable adults, the dismissal letter will also confirm whether HR will convey the details of the employee's dismissal to the appropriate authorities, e.g. for possible inclusion on the Children's or Adults Barred Lists as appropriate, or other statutory bodies such as Health and Care Professions Council. Information will only be conveyed if it relates to safeguarding issues.

13.5 **Other action**

HDC reserve the right to take other action in conjunction with formal disciplinary action, e.g. to transfer the employee to another post. This must be in consultation with the HR Adviser to ensure that any action taken is reasonable and will be reflected in the disciplinary outcome letter.

14 Time limits for warnings

14.1 Written Management Instructions do not constitute a formal written warning and are not part of the formal disciplinary procedure. They are relevant and current for a period of 12 months.

- 14.1.1 Copies of written management instructions or notes of informal discussions may be referred to in a subsequent disciplinary hearing, but only if they are relevant and current i.e. they have been written in the 12 months prior to an issue recurring.
- 14.2 Formal warnings (first, 'first and final' and final written warnings) remain current for 12 months. Any disciplinary action taken should be disregarded after the specified period of satisfactory conduct or performance.
- 14.2.1 There may be occasions where an employee's conduct is satisfactory throughout the period the warning is in force, only to lapse very soon thereafter. Where a pattern emerges and/or there is evidence of abuse, the employee's disciplinary record should be borne in mind.
- 14.3 If an employee is absent from work for an extended period the time limit for warnings will be extended by the period of absence.

15 Appeals

- 15.1 All employees who have received a formal disciplinary warning have a right of appeal to the relevant person as detailed in the outcome letter. This appeal must be made in writing within five working days after receiving the written outcome of the disciplinary hearing.
- 15.2 The appeal must state the grounds for appeal i.e. the basis on which they say the result of the disciplinary was wrong or that the sanction as a result was inappropriate.
- 15.3 As far as is reasonably practicable, an appeal meeting will be held by the next level of management not involved in the original hearing, within 10 working days or a mutually agreed date following the receipt of the appeal in writing.
- 15.4 At the appeal hearing the grounds of appeal will be discussed and the manager hearing the appeal will make a decision based on all representations, together with any subsequent facts that have come to light.
- 15.5 The person dealing with the appeal has the authority to:
- Uphold the appeal, i.e. to find the case not proven;
 - Issue a lesser level of disciplinary action; or
 - Dismiss the appeal, i.e. the original disciplinary warning remains in force.
- 15.6 Employees who have been dismissed will have a right of appeal in line with the Appeals against Dismissal Policy.

16 Special circumstances

- 16.1 Some disciplinary issues need to be treated in a particular way, for example:

- AWOL (Absent without leave)
- Internet/IT cases
- Child protection cases
- Allegations relating to vulnerable adults
- Cases involving a partner organisation
- Where several employees are involved
- Multiple contracts
- Offences outside of work

Further guidance can be found in the Managers' Disciplinary Toolkit. In all these cases advice should be sought from the HR Advisory Team.

17 Consideration of expired disciplinary warnings

- 17.1 All written warnings expire after 12 months; with the exception of employees who are on long term absence for the period of the warning (see section 14.3). If a further breach of conduct occurs while a disciplinary warning is still current the disciplinary procedure will be escalated to the next stage.

18 Links to other procedures

- 18.1 Work performance: It is sometimes difficult to distinguish between misconduct and work performance issues. Cases of misconduct are dealt with under the disciplinary procedure, and cases of genuine lack of capability should be dealt with under the Managing Employee Performance Policy. If it is not clear whether an issue is one of conduct or capability, the investigation process should establish this. Managers may also wish to discuss this with your HR Adviser.
- 18.2 Ill health: The disciplinary procedure and sickness absence policies can run in parallel i.e. one does not take precedence over the other. Advice should be sought from the HR Advisory Team in these situations.
- 18.3 Grievance: If an employee raises a grievance during the disciplinary process, HR advice should be sought to determine whether the disciplinary process should be temporarily suspended in order to deal with the grievance. However, in the majority of situations, the grievance will not postpone any disciplinary action and therefore it may be appropriate to deal with both issues concurrently.

19 Records

- 19.1 The HR Advisory Team will maintain on an employee's personal file brief details of any disciplinary investigation and the letter confirming any formal disciplinary action. They will also keep on file a record of any management instructions issued.

It is not permitted for any party to make audio recordings of disciplinary investigation meetings or the disciplinary hearing.

20 Advice and Support

- 20.1 The Disciplinary Toolkit will support managers to proactively manage conduct issues. Additional advice for managers is available from the HR Advisory team.
- 20.2 The Council employs a confidential First Contact Listening service, a small team of employee volunteers who have received training in basic listening skills. Whilst they are not trained counsellors, they are able to listen to employees who may feel they need to talk through either a work related or personal problem. They are knowledgeable about HDC policies but cannot advise on the application of a policy in a particular case. First Contacts can be contacted on 07795 542093.
 - 20.2.1 There is also a confidential counselling and support service to ensure the welfare and performance of an employee is dealt with in a supportive and positive manner. In addition the Council also provides an Employee Wellbeing scheme. This service is available to support employees in dealing with difficult situations at work and to give them an opportunity to talk to a qualified professional in confidence who can help to give advice on how to deal with difficult behaviours at work with either colleagues or clients. If you need further information on the Counselling service or the Employee Wellbeing Scheme please contact the HR Advisory team. The details of your referral will remain confidential to the HR team.
- 20.3 It may be appropriate for certain matters to be dealt with by way of mediation, depending of the nature of the disciplinary. This involves the appointment of a third-party mediator arranged by the HR Advisory team, after the investigating manager has discussed the disciplinary matter with all those involved and sought to facilitate an outcome. Mediation will only be used if all parties involved in the disciplinary agree.
- 20.4 Should any aspect of the disciplinary process cause difficulty because of a disability, language barriers or other difficulties, the Council will aim to support with the necessary help or assistance. Please contact the HR Advisory Team if additional support is required.

Appendix One

Disciplinary Rules

1.0 Summary

- 1.1 The Council has Key Values and Behaviours in which all employees should adhere to. In circumstances where these are breached disciplinary action will be taken. The following rules are set out to guide employees on the areas deemed as misconduct or gross misconduct.
- 1.2 The lists of behaviour that may be seen as misconduct or gross misconduct set out below are neither exclusive nor exhaustive, there may be other matters of a similar nature which will constitute either misconduct or gross misconduct. There may be occasions where matters listed as misconduct may be regarded as gross misconduct depending upon the nature and seniority of the post or the frequency, impact or severity of the breach.

2.0 Misconduct

- 2.1 Misconduct is of a degree less serious than that warranting dismissal on the first occasion or without previous warning but that will nevertheless lead to dismissal if persistent. Some serious acts of misconduct might justify omitting the first stage (verbal warning) moving directly to issuing a written/final warning in the first instance if there is not a satisfactory explanation. Only when the disciplinary procedure has been exhausted will misconduct lead to dismissal unless there are mitigating circumstances.
- 2.2 Matters that the Council views as amounting to misconduct include (but are not limited to):
- 2.2.1 Absenteesim and Lateness:
- Failure to remain at work during working hours without permission or sufficient cause for absence.
 - Frequent failure to attend work punctually (or in accordance with the flexitime scheme, where appropriate).
 - Failure to notify your Line Manager immediately or as soon as reasonably practicable, when absent due to sickness.
 - Failure to provide medical certificates for absence longer than seven days or when requested by management.
 - Failure to comply with the rules of the Sickness Absence Policy.
- 2.2.2 Neglect of duty:
- Failure to wear protective clothing, use protective equipment or adopt safe working practices where required to by the law or management.
 - Negligent use of Council property in such a way as is likely to cause serious damage, loss or harm.

- Failure to discharge, without sufficient cause, the obligations which the statute of the contract of employment places on the employee.
 - Insubordination.
 - Failure to follow the Council's agreed policies and procedures (e.g. accounting instructions).
 - Failure to work to acceptable standards of conduct or performance.
 - Neglect of health i.e. when an employee, without sufficient cause, neglects to carry out any instructions of a medical officer appointed by the Council or, while absent from duty on account of sickness commits any act or adopts any conduct calculated to delay a return to duty.
- 2.2.3 Making unauthorised use of the Council's communication network and electronic systems.
- 2.2.4 Smoking in a smoke free premises or vehicle (as defined by legislation).
- 2.2.5 Failure to report any loss or damage to any property issued to or used by the employee or to notify the appropriate officer of accidents occurring while driving a Council maintained vehicle.
- 2.2.6 Abusive behaviour and/or offensive language which arises directly out of or in connection with work and which is directed at Councillors, Senior Officers, colleagues or members of the public.
- 2.2.7 Victimisation of other employees in the course of employment.
- 2.2.8 Undertaking additional employment outside normal working hours which would be in conflict with the functions of the Council or detrimental to the work to be performed as an employee of the Council.
- 2.2.9 Knowingly aiding and abetting an act of misconduct.

3.0 Gross Misconduct

- 3.1 Rules under the heading Gross Misconduct are matters that will be viewed very seriously by the Council and, if the allegation(s) are found on the balance of probability proven, may lead to dismissal.
- 3.2 Gross misconduct is the commission of an act of such a serious and fundamental nature which renders it inadvisable for an employee to be allowed to remain at work. If an employee is suspected of committing an act of gross misconduct, suspension from work on full pay pending investigation will be considered.
- 3.3 If after full investigation it is decided that an employee has committed an act of gross misconduct or if the act is admitted by an employee, the Council will be entitled to terminate their contract of employment without notice or pay in lieu of notice unless there are mitigating circumstances.

3.4 Matters that the Council views as amounting to gross misconduct include (but are not limited to):

3.4.1 Dishonesty associated with the place of work or job being undertaken:

- Theft of Council, Council Contractor, client or employee property or deliberate damage to such property.
- Deliberate falsification of timesheets, expense claims or other records for financial gain or to gain advantage to others.
- Demanding or accepting monies or other consideration as a bribe for the use of Council property, provision of Council services, placing of Council orders/contracts or the showing of favour on behalf of the Council.
- Acceptance of any valuable gift or reward, other than the proper remuneration for the performance of official duties unless specifically approved by the Chief Officer or his authorised representative, or regarded by him as appropriate in the circumstances.
- Falsification of qualifications which are a stated requirement of employment or which results in financial gain.
- Misuse of the Council's property or the Council's name or bringing the name into serious disrepute.

3.4.2 Deliberate refusal to carry out reasonable, lawful and safe instructions or the normal agreed duties of an employee's job.

3.4.3 Gross negligence in failing to attend to, or carry out, the normal duties of the job.

3.4.4 Serious breach of the Council's rules:

- Wilful serious infringements of safety rules or other wilfully negligent actions which seriously place the health and safety of the employee, other employees or other persons / public in danger.
- Driving a Council vehicle whilst on Council business in a reckless manner leading to otherwise avoidable serious injury or death of other persons.
- Breaches of the Council's IT, E-Mail and Internet policies and procedures.
- Breaches of the Code of Procurement and Financial Management rules.
- Breaches of the Drug and Alcohol Policy.

3.4.5 Being unfit to perform duties satisfactorily as a result of taking drugs not in accordance with medical advice or being under the influence of alcohol:

- Employees while in charge of machinery, vehicles etc.
- Possession, custody or control of illegal drugs on the Council's premises.

3.4.6 Wilful unauthorised disclosure or misuse of information classified as strictly confidential which could be harmful to the Council, its clients or employees or by employees who in

the course of duty have access to information e.g. personal information on employees/failure to safeguard confidential information.

3.4.7 Acts of violence whether verbal, physical or vandalism in the course of employment causing:

- Malicious damage to Council, Council contractor, client or employee property.
- Use of physical force against Council members, employees or members of the public other than in self-defence.
- Abusive or threatening behaviour or use of offensive language directed at another employee, Council Member or a member of the public.

3.4.8 Sexual misconduct at work whether criminal or not.

3.4.9 Off duty misconduct – the conviction for, or admission of offences that will have a direct bearing on the employee’s ability to carry out their duties.

3.4.10 Knowingly aiding and abetting an act of gross misconduct.

3.4.11 Unlawful discrimination against other employees or members of the public in the course of employment on the grounds of sex, sexual orientation, race, age, disability, religion or belief, including any behaviour that may be classed as bullying and harassment, against any person whilst at work.

3.4.12 The displaying, circulation or copying of material deemed to be offensive, either electronically or otherwise.

3.4.13 Persistent unauthorised absence from work, including frequent lateness without acceptable explanation or persistent failure to comply with the Council’s Attendance Policy.

3.4.14 Serious insubordination

Code of Conduct

The code of conduct is available from the following link:

<http://teams/corporate-team/Conduct/Code%20of%20Conduct/Code%20of%20Conduct%20PDF.pdf>

Name of Policy	Disciplinary Policy and Procedure
Person/posts responsible	Lead HR Manager
Date approved/adopted	
Approved by	