# PERFORMANCE PORTFOLIO DECISION SCHEDULE

**Friday 26th September 2008**

**at 3.00 pm**

**in Committee Room B
Civic Centre, Hartlepool**

Councillor Hargreaves, Cabinet Member responsible for Performance will consider the following items.

1.  **KEY DECISIONS**
    No items

2.  **OTHER ITEMS REQUIRING DECISION**
    2.1     Chief Executive's Departmental Plan 2008/09 – 1st Quarter Monitoring Report – *Assistant Chief Executive and Chief Personnel Officer*
    2.2     Christmas and New Year Arrangements – *Chief Personnel Officer*
    2.3     Single Status Agreement Appeals – *Chief Personnel Officer*

3.  **ITEMS FOR INFORMATION**
    3.1     Corporate Complaints – April to June 2008 – *Assistant Chief Executive*
    3.2     Corporate Investor in People Status (IIP) – *Chief Personnel Officer*
    3.3     Framework for a Fairer Future – The Equality Bill – *Chief Personnel Officer*

4.  **REPORTS FROM OVERVIEW OF SCRUTINY FORUMS**
    No items

**EXEMPT ITEMS**

Under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in the paragraphs referred to below of Part 1 of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) Act 1985

## 5. OTHER ITEMS REQUIRING DECISION

5.1       Single Status Agreement – *Chief Personnel Officer* (Para 4)

5.2       Approval for Compulsory Redundancies – *Chief Personnel Officer* (Para 4)

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**PERFORMANCE PORTFOLIO**
Report to Portfolio Holder
26 September 2008

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**Report of:**        Assistant Chief Executive and Chief Personnel
                      Officer

**Subject:**          CHIEF EXECUTIVE'S DEPARTMENTAL PLAN
                      2008/09 – 1ST QUARTER MONITORING
                      REPORT

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SUMMARY

**1. PURPOSE OF REPORT**

To inform the Portfolio Holder of the progress made against the Chief
Executive's Departmental Plan 2008/09 in the first quarter of the year.

**2. SUMMARY OF CONTENTS**

The progress against the actions contained in the Chief Executive's
Departmental Plan 2008/09.

**3. RELEVANCE TO PORTFOLIO MEMBER**

The Portfolio Member has responsibility for performance management
issues.

**4. TYPE OF DECISION**

Non-key.

**5. DECISION MAKING ROUTE**

Portfolio Holder meeting 26 September 2008.

**6. DECISION REQUIRED**

Achievement on actions be noted and new target dates agreed

**Report of:**     Assistant Chief Executive and Chief Personnel Officer

**Subject:**     CHIEF EXECUTIVE'S DEPARTMENTAL PLAN 2008/09 – 1ST QUARTER MONITORING REPORT

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### PURPOSE OF REPORT

1.  To inform the Portfolio Holder of the progress made against the key actions identified in the Chief Executive's Departmental Plan 2008/09 for the period up to 30 June 2008.

### BACKGROUND

2.  The Performance Management Portfolio Holder agreed the Chief Executive's Departmental Plan in May 2008.

3.  The Chief Executives Department is split into five divisions, with Corporate Strategy and Human Resources reporting to the Performance Portfolio Holder. Issues relating to the Finance, Legal Services and Procurement Divisions are reported separately to the Finance and Efficiency Portfolio Holder.

4.  The Chief Executive's Departmental Plan 2008/09 sets out the key tasks and issues within an Action Plan to show what is to be achieved by the department in the coming year. The plan also describes how the department contributes to the Organisational Development Actions as laid out in the 2008/09 Corporate Plan. It provides a framework for managing the competing priorities, communicating the purpose and challenges facing the department and monitoring progress against overall Council aims.

5.  The Council recently procured a new piece of software, called Covalent, which is used to collect and analyse corporate performance. During the year Covalent will be used to collect performance information detailed in the Corporate Plan, the five Departmental Plans as well as Service and Operational Plans. The new system will also be used to monitor Risk Management across the council within the Performance Management Framework.

6.  Each Division has also produced a Divisional Service Plan, detailing the key tasks and issues facing each division in the coming year. Each plan contains an action plan, detailing how each individual division intends to contribute to the Organisational Development Actions contained in the Corporate Plan, as well as the key tasks and priorities

contained in the Chief Executives Departmental Plan. Divisional Chief Officers will have the lead responsibility for managing performance of issues and tasks identifies in their divisional plans. Where appropriate, issues can be escalated for consideration by CEMT.

### FIRST QUARTER PERFORMANCE

7.  This section looks in detail at how the Corporate Strategy Division and Human Resources Division have performed in relation to the key actions that were included in the Chief Executives Departmental Plan 2008/09. On a quarterly basis officers from across the department are asked, via Covalent, to provide an update on progress against every action contained in the Departmental Plan and, where appropriate, every Performance Indicator.

8.  Officers are asked to provide a short commentary explaining progress made to date, and asked identify the expected outcome of each action set out in the Departmental Plan. The following traffic lights are use within the Covalent:

**Achieved Target**

**Expected to achieve target**

**Target not achieved**

**Not expected to achieve target**

### OVERVIEW OF PERFORMANCE

9.  Within the Corporate Strategy and Human Resources Divisions there were a total of 86 actions identified in the 2008/09 Departmental Plan. Table 1, below, summarises the progress made, to the 30 June 2008, towards achieving these actions.

Table 1 – Corporate Strategy/Human Resources progress summary

|  |  | Corporate Strategy | Human Resource | Total |
|---|---|---|---|---|
|  | **Achieved Target** | 12 | 2 | **14** |
|  | **Expected to achieve target** | 44 | 21 | **65** |
|  | **Target not achieved** | 2 | 2 | **4** |
|  | **Not expected to achieve target** | 3 | 0 | **3** |
|  | **Total** | **61** | **25** | **86** |

10. A total of 14 actions (16%) have been reported as having achieved their targets and a further 65 (76%) have been noted as expected to achieve their target.

11. However, a total of 4 (5 %) actions have been highlighted as not achieving their target and a further 3 (5%) not expecting to achieve their future target date for completion.  More information on these actions can be found in the relevant sections below.

### Corporate Strategy Division

12. The Plan contained 61 actions that were the responsibility of the Corporate Strategy Division.  At the end of the first quarter 12 actions had been completed (20%), and a further 44 (72%) were assessed as being on target to be completed by the target date.  However, 2 actions did not achieve their target (3%) and a further 3 do not expect to achieve their target (5%)  The tables below details these actions, together with a comment explaining why the deadline has not been met and any appropriate remedial action along with any request by the division to amend the target date.

Table2: Corporate Strategy Actions where target was not achieved

| Ref | Action | Date to be Completed | Comment |
|---|---|---|---|
| Outcome: **Develop and improve the effectiveness of the overview and scrutiny function (OD A03)** | | | |
| CED A025 | Evaluate the work/added value to the Overview and Scrutiny arrangements in Hartlepool | 31/07/2008 | Agreed at the last meeting of Informal Scrutiny Chairs that this exercise be undertaken through informal scrutiny chairs future meetings with the outcomes being reported to SCC. Revised target completion date to be January 2009 subject to necessary agreements |
| Outcome: **Manage programme for Place Survey 2008 (CSO 04)** | | | |
| CED A215 | Plan and manage Place Survey 2008 | 31/05/2008 | Target not achieved due to late publication of Place Survey guidance. Originally timetabled for April 2008, but arrived from CLG/Audit Commission in June 2008. Survey now planned and timetabled to begin end of September 2008. |

Table 3: Corporate Strategy Actions not expected to achieve target

| Ref | Action | Date to be Completed | Comment |
|---|---|---|---|
| **Outcome: Delivery of the ICT Strategy to support corporate objectives (OD A16)** | | | |
| CED A054 | Unique Person Identifiers | 31/05/2008 | ICT steering group have decided to put the project on hold until either the costs or the business need, indicate we can / should proceed. Recommend Removal until project restarts. |
| **Outcome: Develop and Implement Business Transformation Programme (OD A13)** | | | |
| CED A040 | Determine overall Business Transformation Programme | 31/07/2008 | Agreed timing not appropriate together with capacity issues. Evaluation now to be undertaken by September 2008 |
| **Outcome: Develop and improve the effectiveness of the overview and scrutiny function (OD A03)** | | | |
| CED A022 | To implement the extended powers to Scrutiny known as the 'Councillor Call for Action' Mechanism | 31/10/2008 | Long awaited guidance expected to be issued end of July 2008 with a few to implementing by December 2008. As a result of the revised implementation date it is suggested the target completion date for this action is revised to January 2009. |

13. Within 2008/09 the Corporate Strategy Division completed a number of actions, including: -

- The Scrutiny Training Programme has been integrated into the Member Development Programme for 2008/09.
- Recommendations across all Overview and Scrutiny Committees are monitored via regular 6 monthly reports which members have found invaluable as it shows the outcome and the value added by the scrutiny process
- The Strategic Risk Strategy and Register has been updated.
- Risk Training has been provided to 124 Risk Managers on the new Covalent system strengthening risk management within the Performance Management Framework.
- Involvement in CAA action learning has been completed.
- Reinforcement of the Data Quality Policy through Covalent training
- Council Factfile 2008 has been designed and issued

14. Corporate Strategy Division currently monitors 24 Performance Indicators all of which are expected to achieve their target.

**Human Resources Division**

15. The Plan contained 25 actions that were the responsibility of the Human Resources Division. As at 30 June a total of 2 actions (8%) had been completed, and a further 21 (84%) were on target to be completed by the target date stated in the plan. However, 2 actions (8%) will not be completed by the target date. Table 4 below details these actions, together with a comment explaining why the deadline has not been met and any appropriate remedial action and request for new target dates.

Table 4: Human Resources Actions where target will not be achieved

| Ref | Action | Date to be Completed | Comment |
|---|---|---|---|
| Outcome: **Develop and Implement Efficiency Strategy (OD A14)** | | | |
| CED A150 | Undertake Employee administration review project | 31/03/2009 | Delayed until KPMG review completed |
| CED A151 | Implement HR aspects of new Payroll/HR system | 31/03/2009 | Procurement exercise approved by Cabinet on 4/8/08 not expected to be completed until Jan 2009. Implementation phase expected to last 8 months. |

16. Within 2008/09 the Human Resources Division no actions were due for completion in the first quarter of 2008/09. However work has been progressing against all actions within the plan including: -

- Queuing Management System within the Contact Centre is being upgraded
- Corporate Address database has been added to the intranet for council wide use
- Publicity Strategy complied to encourage electoral participation, systems developed and implemented to check and correct inaccuracies in Electoral Register and processes developed to collect proposed Electoral Commission performance information.

17. Human Resources Division only has one Performance Indicator NI 14 Avoidable contact. Data collection for this PI commences in October 2008.

### Request for changes to Target dates

18. The following actions have been identified by departments as actions which need to have their target dates changed for various reasons and Portfolio Holder is asked to approve these date changes

| Code | Action | Initial Due Date | Proposed due date | Comment |
|------|--------|------------------|-------------------|---------|
| CED A025 | Evaluate the work/added value to the Overview and Scrutiny arrangements in Hartlepool | 31/07/2008 | 31/01/2009 | Agreed at the last meeting of Informal Scrutiny Chairs that this exercise be undertaken thro informal scrutiny chairs future meetings with the outcomes being reported to SCC. Revised target completion date to be January 2009 subject to necessary agreements |
| CED A215 | Plan and manage Place Survey 2008 | 31/05/2008 | 31/01/2009 | Target not achieved due to late publication of Place Survey guidance. Originally timetabled for April 2008, but arrived from CLG/Audit Commission in June 2008. Survey now planned and timetabled to begin end of September 2008. |
| CED A054 | Unique Person Identifiers | 31/03/2009 | On hold | ICT steering group have decided to put the project on hold until either the costs or the business need, indicate we can / should proceed. Recommend Removal until project restarts. |
| CED A040 | Determine overall Business Transformation Programme | 31/07/2008 | 30/09/2008 | Due to minor delays in respect of the work of the advisers and a need to consider the overall programme priorities this will be slightly delayed to early September 2008 |
| CED A022 | To implement the extended powers to Scrutiny known as the 'Councillor Call for Action' Mechanism | 31/10/2008 | 31/01/2009 | Long awaited guidance expected to be issued end of July 2008 with a few to implementing by December 2008. As a result of the revised implementation date it is suggested the target completion date for this action is revised to January 2009. |
| CED A135 | Implement Plans to Develop & Promote Active, Visible and Effective Leadership | 30/09/2008 | 31/03/2009 | Dates need to be realigned in CE Dept Plan to enable HR service plan actions to be consistent. |
| CED A140 | Implement Plans to Effectively Use Resources and Invest in the Future | 31/12/2008 | 31/03/2009 | Dates need to be realigned in CE Dept Plan to enable HR service plan actions to be consistent. |

### Recommendations

19. It is recommended that achievements of key actions are noted and agree to proposed new target dates.

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**PERFORMANCE PORTFOLIO**
**Report to Portfolio Holder**

**26 September 2008**

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**Report of:**      Chief Personnel Officer

**Subject:**       CHRISTMAS AND NEW YEAR ARRANGEMENTS

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**SUMMARY**

**1.      PURPOSE OF REPORT**

To obtain a decision on the closure of most of the main administrative buildings during the Christmas and New Year period in 2008/09.

**2.      SUMMARY OF CONTENTS**

The report advises that in previous years this Council had closed most of its administrative buildings for the period in between Christmas and New Year and employees have taken annual leave as appropriate.

**3.      RELEVANCE TO PORTFOLIO HOLDER**

Corporate significance.

**4.      TYPE OF DECISION**

Non-key decision.

**5.      DECISION MAKING ROUTE**

Portfolio Holder only.

**6.      DECISION(S) REQUIRED**

To agree to the closure of the main administrative buildings between Christmas and New Year (29, 30 and 31 December 2008) and associated arrangements and consider an additional day of closure on 2 January 2009.

**Report of:**     Chief Personnel Officer

**Subject:**       CHRISTMAS AND NEW YEAR ARRANGEMENTS

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## 1.     PURPOSE OF REPORT

1.1     To obtain a decision on the closure of most of the main administrative buildings during the Christmas and New Year period in 2008/09.

## 2.     BACKGROUND

2.1     In previous years Hartlepool Borough Council has closed most of its main administrative buildings for the period in between Christmas and New Year and employees have taken three or four days annual leave, as appropriate. Arrangements have been made to accommodate any employees wishing to work on some or all of these days, if possible, and the arrangements have been discussed with local Trade Unions each year. Essential, emergency, on-call and some other services such as libraries etc. are provided and publicised widely. Hartlepool Borough Council employees used to be allocated an extra three days leave for the closure but this has long since been added to the leave entitlement. Cabinet, at its meeting on 20 September 2004:

  a)   gave support, in principle, to the closure of the administrative buildings during the Christmas and New Year period every year, in line with past practice and

  b)   agreed that leave arrangements at Christmas and New Year continue to form part of the on-going discussions with trade unions, regarding leave arrangements. The Single Status Agreement implemented this year contains a provision requiring employees to take up to four days of their annual leave entitlement to achieve a close down over the Christmas and New Year period.

## 3.     PROPOSALS FOR 2008/08

3.1     This year the Christmas and New Year holidays are as follows:

|  |  |
|---|---|
| Normal working day | Wednesday 24 December |
| Christmas Day | Thursday 25 December |
| Boxing Day | Friday 26 December |
| Normal working day | Monday 29 December |
| Normal working day | Tuesday 30 December |
|  |  |
| Normal working day | Wednesday 31 December |
| New Years Day | Thursday 1 January 2009 |
| Normal working day | Friday 2 January |

3.2 There will be three days between the Christmas and New Year bank holidays when the main administration buildings could be open and which could, therefore, be normal working days for employees in these buildings. If previous years practice were followed then most of the main administrative buildings would close on these days.

3.3 Additionally this year, 2 January 2009 falls on a Friday and there is the additional option of closing the buildings on this day also, which provides property management and energy efficiencies.

## 4. VIEWS OF THE TRADE UNIONS

4.1 Trade Unions are supportive of the closure of most of the main administrative buildings on a similar basis to previous years.

## 5. CHIEF EXECUTIVE'S VIEW

5.1 The Chief Executive is supportive of closure of most of the main administration buildings for 2008/09 as set out in this report.

## 6. RECOMMENDATION

6.1 That most of the main administrative buildings be closed between Christmas 2008 and New Year 2009 with employees taking leave from their current leave entitlement, and that the usual essential, emergency, on-call and some other service arrangements apply and be publicised (e.g. Libraries).

6.2 That consideration be given to the closure of the buildings on Friday 2 January 2009.

## PERFORMANCE PORTFOLIO
### Report to Portfolio Holder
### 26 September 2008

**Report of:**　　　Chief Personnel Officer

**Subject:**　　　SINGLE STATUS AGREEMENT APPEALS

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## SUMMARY

**1.　PURPOSE OF REPORT**

To approve amendments to the Single Status Appeals Procedure and to provide an update on progress on appeals received.

**2.　SUMMARY OF CONTENTS**

The report provides a background to the Appeals Procedure and proposals for amendments together with an update on the progress of appeals received.

**3.　RELEVANCE TO PORTFOLIO MEMBER**

Corporate Issues

**4.　TYPE OF DECISION**

Non Key

**5.　DECISION MAKING ROUTE**

Portfolio meeting only

**6.　DECISION(S) REQUIRED**

Approval of amendments to the Single Status Appeals Procedure and to note progress on appeals received

**Report of:**        Chief Personnel Officer

**Subject:**        SINGLE STATUS AGREEMENT APPEALS

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## 1.        PURPOSE OF REPORT

1.1        To approve amendments to the Single Status Appeals Procedure and to provide an update on progress on appeals received.


## 2.        BACKGROUND

2.1        Cabinet at its meeting on 27 May 2008 agreed "That the draft Single Status Agreement as submitted be approved and that once the remaining outstanding matters had been finalised with the Trade Unions, a formal signing of the document be arranged, and that officers be authorised to commence the payment process."

2.2        Previously at its meeting on 23 December 2007 it had agreed "that the Performance Portfolio Holder considers and approves all supporting Annexes etc to main body of the draft local Single Status Agreement"

2.3        The Single Status Appeals Procedure was agreed at the Performance Portfolio Holder meeting on 27 June 2008.

2.4        The agreed procedure provides "The Performance Portfolio Holder will be regularly advised of appeals received and progress made in dealing with them"

2.5        Due to the phased implementation arrangements, in order to be able to submit an appeal under the Formal Process, employees must have registered, in writing, their intent to do so to the Chief Personnel Officer
        a)  by 30$^{th}$ September 2008 where non school employees are formally notified of their points score by letter dated prior to 1$^{st}$ July 2008 or
        b)  by 30$^{th}$ November 2008 where school employees are formally notified of their points score by letter dated after 30$^{th}$ June 2008 and prior to 1$^{st}$ September 2008
        c)  within 3 months of being formally notified of their points score by letter dated from 1$^{st}$ July 2008 onwards (non school employees) and 1$^{st}$ September 2008 (school employees)

## 3.    AMENDMENTS TO THE AGREED APPEALS PROCEDURE

3.1    Once the Appeals Procedure was activated on 1st July 2008, it soon became apparent that further guidance was needed and the Appeals Procedure (**Appendix 1**) was amended in respect of

a) the process to be followed during the informal process in order to avoid the need for a formal appeal where a review is supported by a Director (see 5.4-5.8 of Appendix 1) and
b) streamlining the arrangements where intentions to appeal are received from more than one person with an identical or very similar case by using 'test cases' (see 6.1-6.2 and 11.3 of Appendix 1)
c) some minor housekeeping

3.2    The proposed changes to the Procedure are due to be formally considered at a Bridging the Gap meeting held on 17 September 2008 and any changes agreed with the trade unions at that meeting will be reported verbally.

## 4.    PROGRESS ON APPEALS

4.1    Progress on Appeals is as follows

| Appeals Submitted | | | | | |
|---|---|---|---|---|---|
| | | | | Decision | |
| Dept | Grade changed as a result of informal process | Intention to Formally Appeal submitted | Formal Appeals received | Formal Appeals Granted | Formal Appeals Refused |
| **Chief Executive's** | 0 | 61 | 0 | 0 | 0 |
| **Adult & Community Services** | 0 | 58 | 5 | 0 | 0 |
| **Children's Services** | 0 | 38 | 2 | 0 | 0 |
| **Neighbourhood Services** | 0 | 66 | 7 | 0 | 0 |
| **Regeneration & Planning Services** | 0 | 21 | 0 | 0 | 0 |
| **Schools** | 0 | 35 | 1 | 0 | 0 |
| **Total** | 0 | 279 | 15 | 0 | 0 |

## 5. RECOMMENDATIONS

5.1     The Portfolio Holder endorses the revised Single Status Agreement Appeals Procedure and notes the number of appeals received and progress made in dealing with them

## 6. REASONS FOR RECOMMENDATIONS

6.1     The Appeals Procedure is an integral part of the Single Status agreement and requires that the Performance Portfolio Holder be regularly advised of appeals received and progress made in dealing with them.

## 7. BACKGROUND PAPERS

Cabinet report 23 December 2007.
Cabinet report 27 May 2008.
Performance Portfolio report 27 June 2008

## 8. CONTACT OFFICER

Wally Stagg
Organisational Development Manager
01429 523476
wally.stagg@hartlepool.gov.uk

**2.3  Appendix 1**

"Job Evaluation Outcome Appeals" Process in respect of the implementation of the revised pay and grading structure between 1<sup>st</sup> April 2007 and 30<sup>th</sup> June 2008

1.	SCOPE

1.1	The Job Evaluation Outcome Appeals process applies to all employees, including those employed in schools or by schools with delegated budgets

2.	INTRODUCTION

2.1	Provided the timescales detailed in 5.2. 5.4 and 6.1 below are complied with, employees (including those employed in schools) have the right to submit an appeal in respect of the job profile or evaluation they have been matched against where the effective date is between 1<sup>st</sup> April 2007 and 30<sup>th</sup> June 2008.   A separate procedure applies where the effective date is from 1<sup>st</sup> July 2008 onwards.

3.	ADVICE AND SUPPORT

3.1	A dedicated e-mail address (jobevalution@hartlepool.gov.uk) and help line (01429 523332) will be available to receive details of queries from employees and forward them to Managers, Headteachers, HR or Trade Unions, as appropriate

3.2	HR will be available to provide advice and support to all employees.

3.3	The trade unions will provide advice and support to Trade Union members, if requested.

3.4	The Single Status Agreement and associated documents will be available via the Job Evaluation and Single Status box on the Council's intranet home page **http://hbcintranet/site/index.php**

4.	GROUNDS FOR APPEALS

4.1	 Grounds for Appeals will be limited to a belief that one or more of the following applies

	a)	The employee has been allocated to an incorrect pay band (based on the points score notified)
	b)	The employee has been matched to the correct job but the evaluation is not fully reflective of the job undertaken

c) The job has significantly changed since the job was last evaluated
d) The employee has been matched to the wrong job

4.2 The employee will be required to specify which of the above grounds for appeal he/she is relying upon and whether the appeal is in respect of the situation as at 1st April 2007 or later (for example because the employee's job role changed between 1st April 2007 and 30th June 2008). Employees should consider the factor level definitions (see 5.3 below) when considering the grounds for any appeal.

5. PROCESS OF JOB EVALUATION OUTCOME APPEALS

a) Informal Stage

5.1 The informal stage provides for the employee to seek advice from his/her manager, headteacher, trade union representative and/or HR. Outcomes from the informal stage are restricted to

➢ The employee chooses not to progress to formal appeal or
➢ The employee registers, in writing, their intention to progress to the formal stage or
➢ Errors can be addressed

5.2 In order to be able to submit an appeal under the Formal Process, employees must have registered, in writing, their intent to do so to the Chief Personnel Officer

a) by 30th September 2008 where non school employees are formally notified of their points score by letter dated prior to 1st July 2008 or
b) by 30th November 2008 where school employees are formally notified of their points score by letter dated after 30th June 2008 and prior to 1st September 2008
c) within 3 months of being formally notified of their points score by letter dated from 1st July 2008 onwards (non school employees) and 1st September 2008 (school employees)

These timescales may be extended where the Chief Personnel Officer agrees there are exceptional circumstances. Examples of exceptional circumstances include serious illness or maternity leave which prevents participation in the process etc.

5.3 Employees may obtain a copy of the Appeals documentation (i.e. Job Overview and Factor Scores and Levels for their own evaluation and the factor level definitions) via the Job Evaluation and Single Status box on the Council's intranet home page **http://hbcintranet/site/index.php** or by making a request via the dedicated JE e-mail address (jobevalution@hartlepool.gov.uk) or help line (01429 523332)

5.4 Where an employee has been allocated to an incorrect pay band (based on the points score notified), the Chief Personnel Officer should be notified, in writing, by the employee, his/her trade union representative or his/her manager so that this can be rectified.

5.5 Where either

a) an employee has been matched to the correct job or
b) the job has significantly changed since the job was last evaluated

and a Director supports change(s) to particular factor level(s) where this has been brought to his/her attention by a manager, an employee or his/her trade union representative, the Director shall provide written evidence in support of the proposed change in factor level to the Chief Personnel Officer for moderation. The evidence provided by a Director will be used to review all factors, not just the factors identified by the Director.

5.6 Where a change in grading applies, this will be

a) backdated to 1$^{st}$ April 2007 (i.e. the implementation date of the revised pay and grading structure) or the date when a subsequent change took place in respect of any changes which took place between 2$^{nd}$ April 2007 and 30$^{th}$ June 2008 with protection applied in accordance with the agreed protection scheme where the grade goes down.
b) applied to all employees in a group. Where the revised grade does not apply to all employees in the group as there are 2 or more distinct jobs undertaken within it, the revised grade will apply only to those employees in the same (smaller) group where the agreed changes apply.

5.7 Where an employee has been matched to the wrong job, a relevant Senior Officer (for employees in Bands 1-4 only) or Director (for all bands) shall notify the Chief Personnel Officer of the correct match and effective date so that the change in matching can be processed.

5.8 Regardless of any action taken under the informal stage (as detailed in 5.4 -5.7 above), employees will retain the right to be able to submit an appeal. Where necessary, the Chief Personnel Officer will extend the timescales for the Formal Stage in accordance with 5.9 below.

c) <u>Formal Stage</u>

5.9 To activate the Formal stage, a completed "Job Evaluation Outcome Appeals" form (attached as Appendix A) must be received and registered by the Chief Personnel Officer
   i) by 31$^{st}$ December 2008 where 5.2a) above applies
   ii) by 28$^{th}$ February 2009 where 5.2b) above applies

iii) within 6 months of being formally notified of their points score by letter dated from 1$^{st}$ July 2008 onwards (non school employees) and 1$^{st}$ September 2008 (school employees)

These timescales may be extended where the Chief Personnel Officer agrees there are exceptional circumstances. Examples of exceptional circumstances include serious illness or maternity leave which prevents participation in the process etc.

The appeal will not be registered if all sections of the "Job Evaluation Outcome Appeals" form are not completed and any appeals not registered by the appropriate deadline (as detailed above) will not be processed. Employees will be notified accordingly.

5.10 The formal stage provides for a Formal Appeals Panel to consider all formal "Job Evaluation Outcome Appeals" and for the outcomes to be ratified by the Performance Portfolio Holder or Governing Body, as appropriate, prior to any changes being implemented.

5.11 The informal and formal process is depicted by flow chart at Appendix B.

5.12 Members of the Appeals Panel (normally comprising 1 management representative, 1 trade union official and an independent chair).

➢ will not have been involved in the evaluation meeting for the job, nor involved in any detailed discussion of the job as a member of the Arbitration Panel
➢ will have been trained in the use of the scheme and in the avoidance of bias
➢ will be as balanced as possible in terms of gender
➢ will be supported by a Job Analyst and/or the Moderation Group, as appropriate
➢ will have no personal interest in the outcome of the appeal (may be waived where large groups of employees are involved)

5.13 At the meeting of the Appeals Panel, only the information provided on the completed Job Evaluation Outcome Appeals form will be considered. If necessary, the Appeals Panel may seek written clarification of the information provided (no new information may be provided) or request that the appellant, his/her trade union representative and management representative(s) attend in person. The information provided on the "Job Evaluation Outcome Appeals" form (attached as Appendix A) will be used to review all factors, not just the factors identified by the appellant.

5.14 Formal appeals will be sifted by the Chief Personnel Officer and any issues capable of resolution will be addressed by HR employees without the involvement of the Appeals Panel, for example an employee allocated to the wrong job.

5.15   The Appeals Panel will develop its own procedures for dealing with appeals

6     JOINT APPEALS

6.1   Where more than one employee submits an "intention to submit a formal appeal" in respect of a match to a single evaluation or profile, a "test case" approach is encouraged where the basis of the case is similar for each employee.

6.2   Where employees agree to follow the "test case" approach, the decision in respect of the "test case" will apply to all employees who have indicated, in writing, to the Chief Personnel Officer, that the "test case " submitted by the "test case" employee applies to them.

7     TIMESCALES

7.1   All "intentions to submit a formal appeal" must be registered, in writing, with the Chief Personnel Officer

   a)   by 30th September 2008 where non school employees are formally notified of their points score by letter dated prior to 1st July 2008 or

   b)   by 30th November 2008 where school employees are formally notified of their points score by letter dated after 30th June 2008 and prior to 1st September 2008

   c)   within 3 months of being formally notified of their points score by letter dated from 1st July 2008 onwards (non school employees) and 1st September 2008 (school employees)

   and all formal "Job Evaluation Outcome Appeals" must be registered with the Chief Personnel Officer

   i)    by 31st December 2008 where 5.2a) above applies

   ii)   by 28th February 2009 where 5.2b) above applies

   iii)  within 6 months of being formally notified of their points score by letter dated from 1st July 2008 onwards (non school employees) and 1st September 2008 (school employees)

   These timescales may be extended where the Chief Personnel Officer agrees there are exceptional circumstances.  Examples of exceptional circumstances include serious illness or maternity leave which prevents participation in the process etc.

7.2   Confirmation of receipt of the "intent to submit a formal appeal" and the "Job Evaluation Outcome Appeals" form will be provided to the employee within 10 working days of receipt by the Chief Personnel Officer.  The Hartlepool Joint Trade Union Committee and departments/schools will be notified, as appropriate, of all "intentions to submit a formal appeal" and formal "Job Evaluation Outcome Appeals" registered on a weekly basis.   Where there is a written "intent to

submit a formal appeal" or a "formal appeal" is submitted by an employee which may potentially affect one or more colleagues in the same job, those potentially affected will be notified that a written "intent to submit a formal appeal" or a "formal appeal" has been submitted.

7.3    Appeals received will be prioritized and dealt with as follows:

| Priority | Type of Appeal |
|---|---|
| High | Appeals received from current employees who are continuing to receive protection at 1$^{st}$ July 2008/Appeals which do not need an Appeals Panel to meet (see 5.8) |
| Medium | Appeals received from current employees who were receiving protection prior to 1$^{st}$ July 2008/Appeals received from current employees who do not gain initially |
| Low | Appeals received from current employees who gained initially |
| Very Low | Former employees |

7.4    No appeals which require the Appeals Panel to meet will be dealt with prior to 31$^{st}$ December 2008.

7.5    The employee will be notified, in writing, of the outcome of the formal stage within 10 working days of ratification (see 10.1) of any decision made.  The Hartlepool Joint Trade Union Committee and departments/schools will be notified, as appropriate, of the outcomes of all formal appeals on a weekly basis.

8   SUPPORT FOR EMPLOYEES

8.1    Employees requesting a appeal against the grading of his/her job have a right to be supported by their local Trade Union representative or a colleague from work during the informal and formal Appeals stages

9      WITHDRAWING FORMAL APPEAL REQUESTS

9.1    Employees may withdraw a formal appeal request at any stage prior to it being considered by the Appeals Panel.

10     OUTCOMES OF FORMAL APPEALS

10.1   Legitimate decisions of the Formal Appeals Panel are as follows:

| Grounds for appeal (either at 1ˢᵗ April 2007 or later) | Legitimate decisions |
|---|---|
| The employee has been allocated to an incorrect pay band (based on the points score notified) (see 4.1a) | a) Appeal upheld, in which case the employee is matched to the correct pay band and the revised grade applies.  This may result in an increase or decrease in pay<br>b) Appeal dismissed, in which case the previously notified pay band applies |
| The employee has been matched to the correct job but the evaluation is not fully reflective of the job undertaken (see 4.1 b) | a) Appeal upheld (in part or in full) in respect of an evaluated job, in which case a new evaluation or re-evaluation (and moderated) is undertaken and the employee matched to this. This may result in an increase in grade, no change in grade or a decrease in grade.<br>b) Appeal upheld (in part or in full) in respect of a job profile, in which case the employee is matched to an existing or new (moderated) evaluation (with no change being made to the job profile).  This may result in an increase in grade, no change in grade or a decrease in grade.<br>c) Appeal dismissed, in which case the existing match to evaluation and grading applies. |
| The job has significantly changed since the job was last evaluated (see 4.1 c) | a) Appeal upheld (in part or in full) in respect of an evaluated job, in which case a new evaluation or re-evaluation (and moderated) is undertaken and the employee matched to this. This may result in an increase in grade, no change in grade or a decrease in grade.<br>b) Appeal dismissed, in which case the existing match to |

| | evaluation and grading applies. |
|---|---|
| The employee has been matched to the wrong job (see 4.1 d) | a) Appeal upheld, in which case employee is matched to an alternative job. This may result in an increase in grade, no change in grade or a decrease in grade.<br>b) Appeal dismissed, in which case no change is made to the original match. |

10.2  Where changes in grading are agreed under 9.1 above, the revised grade for the appellant will be backdated to 1$^{st}$ April 2007 (i.e. the implementation date of the revised pay and grading structure) or the date when a subsequent change took place in respect of any changes which took place between 2$^{nd}$ April 2007 and 30$^{th}$ June 2008. Where the evaluation applies to more than one employee in a group the revised grade and backdating arrangements will apply to all employees in the group. Where the revised grade does not apply to all employees in the group as there are 2 or more distinct jobs undertaken within it, the revised grade will apply only to those employees in the same (smaller) group as the employee who appealed.

10.3  Where there is a decrease in grade, protection will be applied in accordance with the agreed protection scheme.

10.4  The Appeals Panel has no jurisdiction regarding the appropriateness of the evaluation or evaluation score of any comparator posts included in appeals

11  FURTHER RIGHTS OF APPEAL

11.1  The determination of the formal Appeals Panel, once ratified by the Performance Portfolio Holder or School Governing Body, as appropriate is FINAL and the appellant will have no further rights to appeal.

11.2  Where employees not involved in the original appeal have their grade changed as a consequence of Section 9 being applied, they have a further right of appeal in accordance with Section 5.

11.3  Employees who have agreed that the decision in respect of a "test case" applies to them (as detailed in Section 6) will not have a further right of appeal as detailed in 11.2 above.

12  MONITORING OF THE PROCESS

12.1  The Bridging the Gap Group is responsible for monitoring progress regarding "Job Evaluation Outcome Appeals" in respect of the

implementation of the pay and grading structure between 1$^{st}$ April 2007 and 30$^{th}$ June 2008 and will receive regular reports. The Bridging the Gap Group will determine the appropriate action where areas of concern are raised or clarification of the process is needed.

12.2 The Performance Portfolio Holder will be regularly advised of appeals received and progress made in dealing with them.

13 FLOW CHART

Attached at Appendix B is a flow chart depicting the various stages of the procedure.

Appendix A

## JOB EVALUATION OUTCOME APPEALS FORM

SECTION 1

| First Name | | Surname | |
|---|---|---|---|
| Payroll Number | | New Grade | |
| Job title | | JE Ref No | Yes/No |
| Department | | | |
| Section | | | |
| Location | | | |

| Please state the reason for your appeal by selecting one of the options below: (NB. Please be aware that the grade of your job could go down as well as up) | | Please tick |
|---|---|---|
| 1) | The employee has been allocated to an incorrect pay band (based on the points score notified) (see 4.1a) (Complete sections 2 and 5) | ☐ |
| 2) | The employee has been matched to the correct job but the evaluation is not fully reflective of the job undertaken (Complete Sections 3, 4, and 5) | ☐ |
| 3) | The job has significantly changed since the job was last evaluated (Complete Sections 3, 4, and 5) | ☐ |
| 4) | The employee has been matched to the wrong job (Complete Sections 3, 4, and 5) | ☐ |

| Please state whether your appeal relates to the situation at 1st April 2007 or a later date | | Please tick |
|---|---|---|
| 1) | The appeal relates to the situation as at 1st April 2007 | ☐ |
| 2) | The appeal relates to a date after 1st April 2007 (please specify date _____) | ☐ |

SECTION 2

| If you have selected option 1) above, please provide details of the points score for the job you are appealing against and the band you believe you should be allocated to | | | |
|---|---|---|---|
| Job title | | | |
| Department | | | Yes/No |

| JE Ref No | | Points Score | | Band Claimed | |
|---|---|---|---|---|---|

# SECTION 3

You may be aware that the NJC job evaluation scheme uses 13 factors when building up a points score for a job. A copy of your Job Overview is included with this form which you may wish to refer to. Each factor is described below and you are asked to indicate which of the factors you consider to need reassessment by the Appeals Panel. (In Section 4 you will be asked to provide written evidence in support of each of the factors you have selected)

| Knowledge and Skills | Please tick |
|---|---|
| **1.** Knowledge (for example qualifications required for the job, knowledge of policies and procedures, knowledge of equipment and tools) | ☐ |
| **2.** Mental skills (any requirements for analytical, problem-solving, creative and developmental skills) | ☐ |
| **3.** Interpersonal and Communication (any requirements to communicate with service users or the public; how it takes place eg in person, by phone, in writing or a combination; whether the information is confidential or sensitive; and if you need to use advisory, guiding, negotiating or persuasive skills as part of your job. | ☐ |
| **4.** Physical skills (for example any requirements for keyboarding, driving, or undertaking tasks using equipment or tools where there is a requirement for precision and/ or speed. | ☐ |
| Effort Demands | Please tick |
| **5.** Initiative and Independence (any requirements for problem–solving, the extent to which you can plan your own workload, the extent to which all the main tasks within your job are covered by recognised procedures). | ☐ |
| **6.** Physical Demands (the amount of standing and walking, lifting and carrying, pushing and pulling or working in an awkward or constrained position) In section 4 please specify the level of physical demand and how long you are subject to this demand during a typical working day. | ☐ |
| **7.** Mental Demands (the degree, frequency and duration of mental concentration required for the job; whether the jobholder is subject to conflicting demands or interruptions and any requirements for sensory attention where the jobholder needs to be alert to traffic or the actions of children. In section 4 please include how long at any one time you are subject to this demand and how frequently it occurs eg more than once a day, daily or weekly. | ☐ |
| **8.** Emotional Demands (whether the jobholder could experience emotional upset because of the circumstances or behaviour of the people with whom they are involved. It excludes having a relatively straightforward contact with someone who is disadvantaged, for example giving directions on where to go for assistance. It also excludes verbal abuse as this is covered under environmental demands. | ☐ |

| Responsibilities | Please tick |
|---|---|
| **9.** People (the impact the jobholder has on the well-being of service users, clients or members of the public. This may include providing advice and guidance, assessing needs, providing personal care, financial benefits or ensuring their health and safety). | ☐ |
| **10.** Supervision (whether the jobholder supervises other employees or trainees. In section 4 please include how many employees you supervise, their locations, the type of responsibility for example allocating and checking work, evaluating and appraising, training and development, and whether this is an on-going responsibility or only occurs in the absence of others. | ☐ |
| **11.** Financial Resources (includes any responsibility for personally handling or processing cash, cheques or invoices or the equivalent). In section 4 please include details of the type of financial resource and the values which are handled or processed per day/per annum (please specify). | ☐ |
| **12.** Physical Resources (includes any responsibility for information and information systems, equipment or tools, supplies and stocks, personal possessions of others, or buildings and external locations.) In section 3 please include details of the value of equipment, tools, supplies or stocks etc. | ☐ |

| Environmental Demands | Please tick |
|---|---|
| **13.** Working Conditions (includes any regular exposure to casual or serious abuse from members of the public or exposure to disagreeable, unpleasant or hazardous situations). | ☐ |

## SECTION 4

Please use this section to provide information in support of all the factors you have selected above. Note: In order for the Appeals Panel to make an assessment, please provide as much detail as possible. It is important that you include examples of when you undertake a particular task or responsibility or apply a particular skill, and how often eg daily, weekly or monthly.

| Factor | Evidence / Information | |
|---|---|---|
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| | | |
| | Please continue on a separate sheet if necessary. | |

## SECTION 5

| To be completed by the Jobholder | | | |
|---|---|---|---|
| Name (please print) | | | |
| Signature | | Date | |

## SECTION 6

| To be completed by the Line Manager/School Management representative | |
|---|---|
| Name: | Tel no: |

| Line Manager comments on the application: | | | |
|---|---|---|---|
| *Please continue on a separate sheet if necessary.* | | | |
| Are any other jobholders affected by this application? Give details: | | | |
| Signature | | Date | |

## SECTION 7

| To be completed by the relevant Director/Headteacher | | | |
|---|---|---|---|
| I confirm that the jobholder undertakes the tasks and duties as stated within this appeal and that all information provided is accurate. (If not, please provide your comments below). | | | |
| Director comments on the application: *Please continue on a separate sheet if necessary.* | | | |
| Name (please print) | | | |
| Signature | | Date | |

## SECTION 8

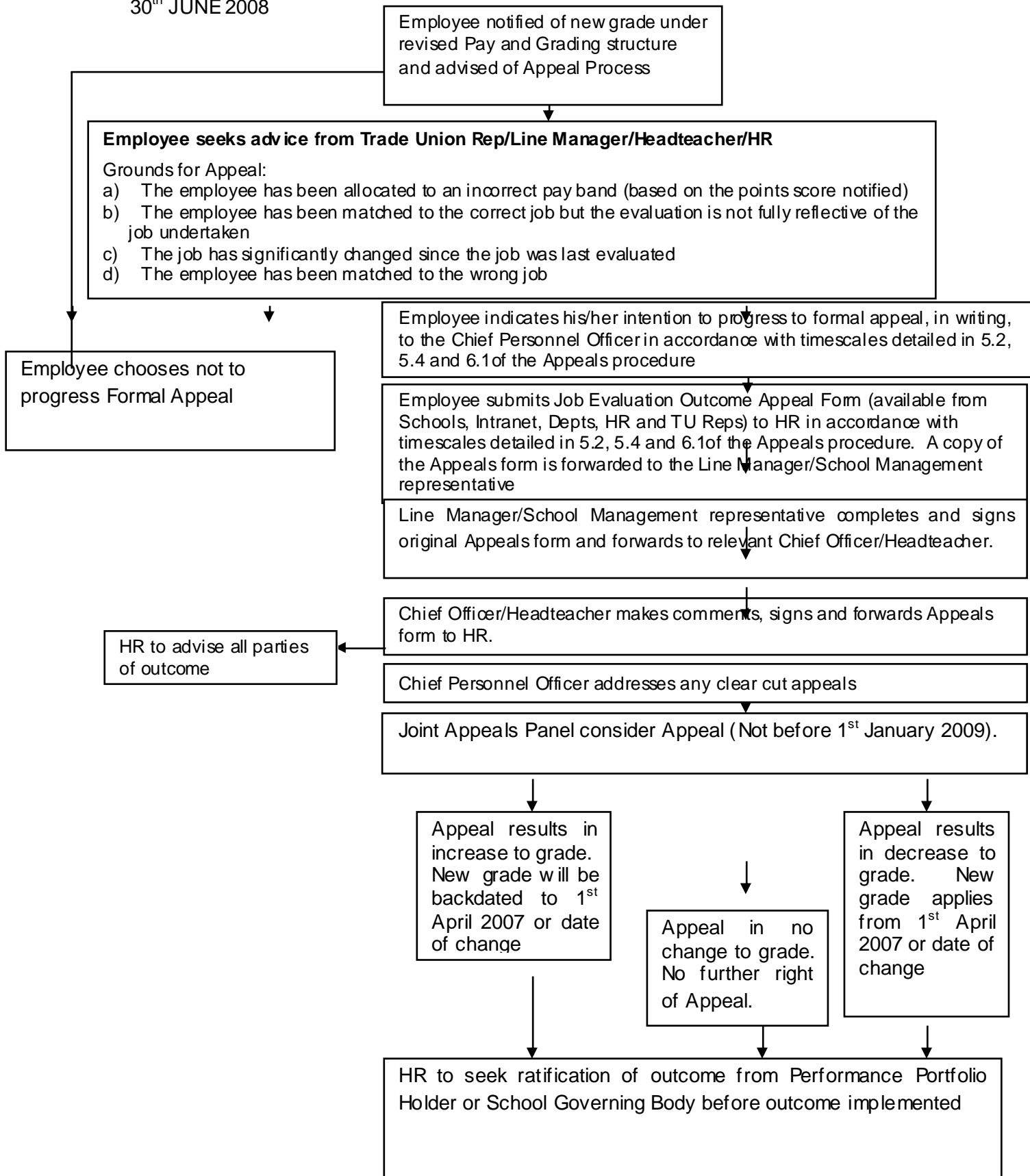| Panel Members: | | Date: |
|---|---|---|
| Grounds for appeal: | Decision: | Please tick |

| | | |
|---|---|---|
| The employee has been allocated to an incorrect pay band (based on the points score notified) (see 4.1a) | Appeal upheld, in which case the employee is matched to the correct pay band and the revised grade applies<br><br>*OR*<br><br>Appeal dismissed, in which case the notified pay band applies | ☐<br><br><br><br><br>☐ |
| The employee has been matched to the correct job but the evaluation is not fully reflective of the job undertaken (see 4.1 b) | Appeal upheld in respect of an evaluated job, in which case new evaluation or re-evaluation (and moderated) is to be undertaken and the employee matched to this.<br><br>OR<br><br>Appeal upheld in respect of a job profile, in which case a new evaluation is to be undertaken (and moderated) and the employee matched to this (with no change being made to the job profile).<br><br>OR<br><br>Appeal dismissed, in which case no change is made to the original match | ☐<br><br><br><br><br>☐<br><br><br><br><br><br>☐ |
| The job has significantly changed since the job was last evaluated (see 4.1 c) | Appeal upheld in respect of an evaluated job, in which case a new evaluation or re-evaluation (and moderated) is to be undertaken and the employee matched to this.<br><br>OR<br><br>Appeal dismissed, in which case no change is made to the original match | ☐<br><br><br><br><br>☐ |
| The employee has been matched to the wrong job (see 4.1 d) | Appeal upheld, in which case employee is to be matched to an alternative job.<br><br>*OR*<br><br>Appeal dismissed, in which case no change is made to the original match | ☐<br><br><br><br><br>☐ |

Signature _____

Signature _____

Signature _____

Appendix B

HARTLEPOOL BOROUGH COUNCIL
FLOWCHART OF APPEALS PROCESS IN RESPECT OF THE IMPLEMENTATION OF THE NEW PAY AND GRADING STRUCTURE BETWEEN 1st APRIL 2007 AND 30th JUNE 2008

Employee notified of new grade under revised Pay and Grading structure and advised of Appeal Process

**Employee seeks advice from Trade Union Rep/Line Manager/Headteacher/HR**

Grounds for Appeal:
a) The employee has been allocated to an incorrect pay band (based on the points score notified)
b) The employee has been matched to the correct job but the evaluation is not fully reflective of the job undertaken
c) The job has significantly changed since the job was last evaluated
d) The employee has been matched to the wrong job

Employee chooses not to progress Formal Appeal

Employee indicates his/her intention to progress to formal appeal, in writing, to the Chief Personnel Officer in accordance with timescales detailed in 5.2, 5.4 and 6.1 of the Appeals procedure

Employee submits Job Evaluation Outcome Appeal Form (available from Schools, Intranet, Depts, HR and TU Reps) to HR in accordance with timescales detailed in 5.2, 5.4 and 6.1 of the Appeals procedure. A copy of the Appeals form is forwarded to the Line Manager/School Management representative

Line Manager/School Management representative completes and signs original Appeals form and forwards to relevant Chief Officer/Headteacher.

Chief Officer/Headteacher makes comments, signs and forwards Appeals form to HR.

HR to advise all parties of outcome

Chief Personnel Officer addresses any clear cut appeals

Joint Appeals Panel consider Appeal (Not before 1st January 2009).

Appeal results in increase to grade. New grade will be backdated to 1st April 2007 or date of change

Appeal in no change to grade. No further right of Appeal.

Appeal results in decrease to grade. New grade applies from 1st April 2007 or date of change

HR to seek ratification of outcome from Performance Portfolio Holder or School Governing Body before outcome implemented

┌─────────────────────────────────────────────────────┐
│              **PERFORMANCE PORTFOLIO**                │
│              Report to Portfolio Holder               │
│              26th September 2008                    │
└─────────────────────────────────────────────────────┘

**Report of:**        Assistant Chief Executive


**Subject:**          CORPORATE COMPLAINTS – APRIL TO JUNE 2008
───────────────────────────────────────────────────────────────

SUMMARY


**1.    PURPOSE OF REPORT**

To report to the Portfolio Holder on corporate complaints performance for the first quarter of 2008/9.

**2.    SUMMARY OF CONTENTS**

The report covers performance information on numbers of complaints, timescales for investigation and outcomes of investigations for formal complaints dealt with in the first quarter of 2008/09. A total of 15 formal complaints was received in the quarter. Three quarters of these were responded to within authority deadlines. A quarter of complaints were upheld fully or in part.

**3.    RELEVANCE TO PORTFOLIO MEMBER**

The Portfolio Member has responsibility for performance management issues.

**4.    TYPE OF DECISION**

Non-key

**5.    DECISION MAKING ROUTE**

Portfolio Holder meeting on 26th September 2008

**6.    DECISION(S) REQUIRED**

That the report be noted.

**Report of:**        Assistant Chief Executive


**Subject:**        CORPORATE COMPLAINTS – APRIL TO JUNE 2008

_____


**1.    PURPOSE OF REPORT**

1.1    To report to the Portfolio Holder on corporate complaints performance for the first quarter of 2008/9.  It also provides information on recent recommendations from the Local Government Ombudsman on complaints and partnership arrangements.


**2.    FORMAL COMPLAINTS INFORMATION – April – June 2008**

2.1    In the first quarter of 2008/09, a total of 12 formal corporate complaints were recorded by departments and 3 social care complaints.  The Neighbourhood Services Department and the Chief Executive's Department dealt with 5 complaints each and the Adult and Community Services Department dealt with 2 corporate complaints and 2 social care complaints.  The Children's Services Department dealt with 1 social care complaint.  In the same period of 2007/08, 21 formal complaints were recorded.  There does not appear to have been an decrease in any particular department, rather a small decrease in all departments with Regeneration & Planning Services maintaining the same level of zero complaints as were recorded in 2007/08.  (See **Appendix 1** for detailed figures)

2.2    The social care complaints received by the Adult & Community Services and Children's Services Departments are dealt with under statutory procedures which differ from the corporate procedure in terms of time scales and investigative process.  However, for the sake of completeness, basic statistics on numbers of complaints received are included in this report.

**Meeting deadlines**

2.3    The corporate complaints procedure has a deadline of 15 days for reporting back to a complainant with a written response to their complaint, after a thorough investigation.  For social care complaints, deadlines vary depending on the level of the complaint - within 10 working days for the Local Resolution stage, 25 working days for the Formal Investigation stage and 30 working days for the Complaint Review Panel stage.  There is scope for extending the social care deadlines should this become necessary.  Prompt investigation is always a priority for all types of complaints, but in some cases the complexity of a complaint and/or the number of people to be contacted during the investigation can mean that the deadline cannot be met.  In the first quarter of 2008/09, the deadline was met in 73 percent of cases.  This is a decrease from the figure of 86 percent of investigations completed within the deadline, for the same quarter in 2007/08.

### Outcomes of complaints investigations

2.4 When a complaint investigation has been completed, a judgement is made by the investigating officer as to whether or not the authority has been at fault and hence whether the complaint is upheld fully, in part or not upheld. In the first quarter of 2008/09, 1 complaint (7%) was fully upheld and 3 cases (20%) were partly upheld. This compares with the figures for the first quarter of 2007/08 of 6 cases (29%) fully upheld and 4 cases (19%) partly upheld.

### Remedies for complaints

2.5 Departments are asked to provide information on what remedies have been offered to people whose complaints have been upheld either in part or in full. In some cases, a remedy can put a complainant in the position they would have been in but for the Council's error, e.g. detailed discussions with a service user/carer leading to a resolution of issues. In other cases, a direct remedy of this sort is not possible but apologies have been given, and explanations provided as to how the problem arose and of the action taken to prevent the problem recurring.

### Learning from complaints

2.6 Complaints can provide useful information on how a service is performing and what problems are being experienced by service users. Departments provide information on what lessons have been learnt from the complaints that they have received and what actions have been taken to prevent their recurrence. In the first quarter of 2008/09, wherever possible, departments have taken action. For example, reinforcing with staff the need to provide the right information in an appropriate format for service users; reviewing how incoming emails are dealt with and the change of a computer system to avoid the recurrence of a problem.

## 3.     RECOMMENDATIONS

That the report be noted.

## 4.     BACKGROUND PAPERS

Corporate Complaints - April to June 2007 - Report to the Performance Management Portfolio Holder, 31st August 2007.

Hartlepool Borough Council Corporate Complaints Procedure 2008.

## 5.     CONTACT OFFICER

**Liz Crookston, Principal Strategy & Research Officer,
Chief Executive's Department, Corporate Strategy Division
Hartlepool Borough Council**

**Tel No: (01429) 523041
Email: liz.crookston@hartlepool.gov.uk**

## APPENDIX 1 – COMPLAINTS MONITORING – April 1ˢᵗ – June 30ᵗʰ 2008

| | NUMBER | MEETING DEADLINES | | OUTCOMES | | |
|---|---|---|---|---|---|---|
| | Total no. of complaints | Reported on within deadline | Reported outside deadline | Not upheld | Upheld in part | Upheld |
| | | | | | | |
| **CHIEF EXECUTIVE'S** | | | | | | |
| Corporate Strategy | - | - | - | - | | |
| Finance | 3 | 3 | - | 2 | - | 1 |
| Human Resources | 2 | - | 2 | 2 | - | - |
| Legal | - | - | - | - | - | - |
| **TOTAL FOR CHIEF EXEC'S** | **5** | **3** | **2** | **4** | **-** | **1** |
| | | | | | | |
| **ADULT & COMMUNITY SERVICES** | | | | | | |
| Corporate complaints | 2 | 2 | - | 1 | 1 | - |
| Social Care complaints | 2 | 1 | 1 | - | 2 | - |
| **TOTAL FOR ADULT & COMM SERVICES** | **4** | **3** | **1** | **1** | **3** | **-** |
| | | | | | | |
| **CHILDREN'S SERVICES** | | | | | | |
| Corporate complaints | - | - | - | - | - | - |
| Social Care complaints | 1 | 1 | - | 1 | - | - |
| **TOTAL FOR CHILDREN'S SERVICES** | **1** | **1** | **-** | **1** | **-** | **-** |
| | | | | | | |
| **REGENERATION & PLANNING SERVICES** | **-** | **-** | **-** | **-** | **-** | **-** |
| | | | | | | |
| **NEIGHBOURHOOD SERVICES** | **5** | **4** | **1** | **5** | **-** | **-** |
| | | | | | | |
| **TOTAL NUMBER OF COMPLAINTS** | **15** | **11** | **4** | **11** | **3** | **1** |
| | | **73%** | **27%** | **73%** | **20%** | **7%** |

# Unlock your organisation's potential

An overview of the Standard framework

# The Investors in People Standard

| Principles | Indicators | Evidence requirements |
|---|---|---|
| **Developing strategies to improve the performance of the organisation**<br>An Investor in People develops effective strategies to improve the performance of the organisation through its people. | **1 A strategy for improving the performance of the organisation is clearly defined and understood.** | 1 Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance.<br>2 Top managers make sure the organisation has a business plan with measurable performance objectives.<br>3 Top managers make sure there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisation's business plan.<br>4 Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives.<br>5 People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan.<br>6 People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them. |
| | **2 Learning and development is planned to achieve the organisation's objectives.** | 1 Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these link to achieving specific objectives and how the impact will be evaluated.<br>2 Managers can explain team learning and development needs, the activities planned to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.<br>3 People can describe how they are involved in identifying their learning and development needs and the activities planned to meet them.<br>4 People can explain what their learning and development activities should achieve for them, their team and the organisation. |
| | **3 Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.** | 1 Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance.<br>2 Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.<br>3 Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.<br>4 People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance.<br>5 People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance. |
| | **4 The capabilities managers need to lead, manage and develop people effectively are clearly defined and understood.** | 1 Top managers can describe the knowledge, skills and behaviours managers need to lead, manage and develop people effectively, and the plans they have in place to make sure managers have these capabilities.<br>2 Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.<br>3 People can describe what their manager should be doing to lead, manage and develop them effectively. |

Plain English Campaign's Crystal Mark does not apply to Indicator 3.

| Principles | Indicators | Evidence requirements |
|---|---|---|
| **Taking action to improve the performance of the organisation**<br>An Investor in People takes effective action to improve the performance of the organisation through its people. | **5 Managers are effective in leading, managing and developing people.** | 1 Managers can explain how they are effective in leading, managing and developing people.<br>2 Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate.<br>3 People can explain how their managers are effective in leading, managing and developing them.<br>4 People can give examples of how they receive constructive feedback on their performance regularly and when appropriate. |
| | **6 People's contribution to the organisation is recognised and valued.** | 1 Managers can give examples of how they recognise and value people's individual contribution to the organisation.<br>2 People can describe how they contribute to the organisation and believe they make a positive difference to its performance.<br>3 People can describe how their contribution to the organisation is recognised and valued. |
| | **7 People are encouraged to take ownership and responsibility by being involved in decision-making.** | 1 Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist.<br>2 People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role.<br>3 People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level that is appropriate to their role. |
| | **8 People learn and develop effectively.** | 1 Managers can describe how they make sure people's learning and development needs are met.<br>2 People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role.<br>3 People who are new to the organisation, and those new to a role, can describe how their induction has helped them to perform effectively. |
| Principles | Indicators | Evidence requirements |
| **Evaluating the impact on the performance of the organisation**<br>An Investor in People can demonstrate the impact of its investment in people on the performance of the organisation. | **9 Investment in people improves the performance of the organisation.** | 1 Top managers can describe the organisation's overall investment of time, money and resources in learning and development.<br>2 Top managers can explain, and quantify where appropriate, how learning and development has improved the performance of the organisation.<br>3 Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation.<br>4 Managers can give examples of how learning and development has improved the performance of their team and the organisation.<br>5 People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation. |
| | **10 Improvements are continually made to the way people are managed and developed.** | 1 Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people.<br>2 Managers can give examples of improvements they have made to the way they manage and develop people.<br>3 People can give examples of improvements that have been made to the way the organisation manages and develops its people. |

# Glossary

Words can mean different things to different people. This glossary explains what certain words mean as they appear in the Investors in People Standard.

## Business plan
This is a plan that sets out the organisation's objectives. It may also be known as an organisational plan, corporate plan, strategic plan, development plan or improvement plan.

## Capabilities
These are the knowledge, skills and behaviours the organisation's leaders and managers need.

## Constructive feedback
This is information provided to an individual that allows them to understand their particular strengths and their areas for improvement in relation to their performance.

## Constructive relationships
This refers to positive working relationships between managers and representative groups.

## Consult
This means managers and representative groups regularly examining issues of mutual concern together so that they can take account of the views of employees when making decisions that are likely to affect their interests.

## Continually
This means happening often but with breaks in between each event.

## Contribution
This is the ideas, time and effort that people give to an organisation to help it achieve its objectives.

## Equality
This means recognising that while people are different and need to be treated as individuals, everyone is the same in terms of having equal value, equal rights as human beings and a need to be treated with dignity and respect. In terms of the opportunity to learn and develop, equality means preventing and removing discrimination because of someone's race, sex, disability, sexuality, religion or belief, age, marital status or other personal characteristics. It makes sure that all groups have appropriate and fair access to learning and development opportunities.

## Evaluation
This means reviewing the results of learning and development activities and identifying whether they have achieved their intended objectives and how this has had an impact on performance.

## Impact
This means the results achieved and the effect this has had on performance.

## Learning and development
This is any activity that develops skills, knowledge or attitude. Activities may range from formal training courses run internally or externally to informal on-the-job training or coaching.

## Manager
This is anyone who is responsible for managing or developing people. This includes top managers.

## Objectives
These are the results the organisation aims for to achieve its vision. To know if the objectives have been achieved, they need to be specific, measurable and time-bound. Specific means identifying exactly what needs to be achieved. Measurable means knowing how much has been achieved (for example, 5% up, £100 more or five people more). Time-bound means setting a deadline for achieving the objectives (for example, by the end of this three-month period or within one year).

## Organisation
This is the body that is working with the Investors in People Standard. It can be profit-making or non-profit-making, a charity, a subsidiary or a business unit.

## Ownership
This means people playing a greater role in the success of the organisation, and being willing to own a decision and be accountable for its outcome.

## People
This is anyone who helps the organisation to achieve its objectives – whatever role they play. It includes part-time workers, voluntary workers, people on renewable short-term contracts, and regular, casual employees. Where an indicator refers to 'people', it means everyone in the organisation (including managers and top managers). The only exception to this is where the assessor decides, based on evidence collected, that they will accept nearly everyone.

## People who are members of representative groups
This refers to people who act as official representatives, rather than ordinary members.

## Purpose
This describes why an organisation exists and what its business is. This could be expressed through a mission statement.

## Quantify
This means explaining, in measurable terms, the results achieved through learning and development activities.

## Regularly
This means at least once a year, but it could be more often. It is up to the organisation to define what is appropriate.

## Representative groups
These are groups like trade unions, other workplace representatives, staff associations, works councils and partnership councils.

## Strategy
This is the way an organisation aims to achieve its vision.

## Team
This is a small or large group of people who come together to work towards a shared goal - for example, a project team, a branch or department. In small organisations, a team may be the whole organisation. As a result, where an evidence requirement refers to team, this will mean the whole organisation if there are no smaller teams.

## Top managers
These are the most senior people in the organisation who are likely to be responsible for developing strategies and approving major investments. This could be the owners, the board of directors, partners or senior managers.

## Vision
This describes where an organisation wants to be in the future and what it wants its people and its customers to say about it.

| PERFORMANCE PORTFOLIO<br>Report to Portfolio Holder<br>26 September 2008 |
|---|

**Report of:**      Chief Personnel Officer


**Subject:**      CORPORATE INVESTOR IN PEOPLE STATUS
(IIP)

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SUMMARY

1.  **PURPOSE OF REPORT**

    To inform the Portfolio Holder of the successful assessment by
    Assessment North East that has resulted in the Council being
    awarded Corporate IIP status.

2.  **SUMMARY OF CONTENTS**

    The report provides a background to IIP in the Council, details
    feedback arrangements and proposed follow up actions, along with
    the IIP national standard.

3.  **RELEVANCE TO PORTFOLIO MEMBER**

    Corporate Issues

4.  **TYPE OF DECISION**

    Non Key

5.  **DECISION MAKING ROUTE**

    Portfolio meeting only

6.  **DECISION(S) REQUIRED**

    Portfolio Holder to note the report.

**Report of:** Chief Personnel Officer

**Subject:** CORPORATE INVESTOR IN PEOPLE STATUS

_____

1. **PURPOSE OF REPORT**

1.1 To inform the Portfolio Holder of the successful assessment by Assessment North East that has resulted in the Council being awarded Corporate IIP status.

2. **BACKGROUND**

2.1 In April 2007, a commitment was made in the Workforce Development Strategy to achieve IIP on a corporate basis by July 2008 and for all departments to work together to increase the "profile" level of Corporate IIP status year on year.

2.2 To fulfil this commitment a programme of work was undertaken by the Corporate IIP Group leading up to external assessment on 22/23/24/28 & 29 July 2008. This assessment has been successful and the efforts of the organisation were commended by the IIP Recognition Panel which met on the 22 August 2008 and endorsed the Assessment Team's recommendation that the Standard had been fully met.

2.3 A copy of the full report is attached (**Appendix 1**) along with a copy of the IIP national standard (**Appendix 2**). It is also available on the Intranet (on the dedicated IIP page within the Workforce Development section) and will shortly be available on the Internet (once the most appropriate place has been identified) and in the Members room

2.4 The Assessment covered all 5 departments within the authority plus Elected Members.

3. **FEEDBACK ARRANGEMENTS**

3.1 A formal feedback session delivered by the Assessment Team will be arranged, ideally during October 2008 but dependant upon the assessment team's availability, to which key stakeholders and those interviewed during the assessment process, will be invited to attend.

3.2 Key stakeholders will include members of
  ➢ Cabinet
  ➢ Local Joint Consultative Committee (members and trade unions)

➢ Corporate Management Team
➢ Corporate IIP Group
➢ Workforce Development Group

## 4.    POST RECOGNITION

4.1    Following recognition the Corporate IIP group will produce for consideration and approval prior to implementation,

a) An action plan to address identified corporate areas for development

b) A proposal for continuous improvement using the profile element/new choices elements of the standard.

c) An internal review strategy and programme.

4.2    Each department will also prepare an action plan to address identified areas for development within their department. In addition to the standard performance management arrangements, the Corporate IIP group will monitor progress against the departmental action plans.

## 5.    RECOMMENDATIONS

5.1    That the Portfolio Holder notes the report.

## 6.    BACKGROUND PAPERS

Corporate IIP Report – July/ August 2008
National IIP Standard

## 7.    CONTACT OFFICER

Lucy Armstrong, Workforce Development Manager, 01429 523476

## INVESTOR IN PEOPLE RECOGNITION

As a result of the meeting of the recognition panel today, the following recognition panel members are pleased to confirm/~~regret they are unable to confirm~~ that **Hartlepool Borough Council** be recognised as an Investor in People.

| | |
|---|---|
| Beverly Simpson | University of Teesside |
| Christine Pearce | Redcar & Cleveland College |

The recognition panel would like to add the following feedback points/actions to be taken.

The panel commend the Council on taking a strategic approach to this review and for achieving the level of consistency in its strengths and areas for development

Recognition Panel Chair

Date: 22nd August 2008

*Beverly Simpson*

*Commercial in Confidence*

INVESTORS IN PEOPLE

# INVESTORS IN PEOPLE
# STRATEGIC ASSESSMENT


## for


## HARTLEPOOL BOROUGH COUNCIL


| | |
|---|---|
| Assessment Team: | Carole Ramshaw (Lead) |
| | Nigel Smith (Team) |
| | Les Peacock (Team) |
| Number of people in scope: | 3080  (+ 46 members) |
| Date of onsite: | 22nd – 29th July 2008 |
| Date of Recognition Panel: | 22nd August 2008 |

# CONTENTS

Page Nrs

# 1.  STRUCTURE OF THIS REPORT

Hartlepool Borough Council requested that this report be written with findings against each of the five departments within the organisation together with a strategic summary.

# 2.  BACKGROUND INFORMATION

Hartlepool Borough Council is a unitary authority responsible for a wide variety of essential public services within its boundaries.

A Comprehensive Performance Assessment (CPA) took place by the Audit Commission in 2007 and resulted in the council being awarded a Four Star rating for the fifth year running.

Prior to this assessment a meeting took place between representatives of Hartlepool District Council and Assessment North East in order to determine the desired approach to assessment. In addition to this meeting a Diagnostic Assessment was completed in February 2008 to identify areas for development prior to the Strategic Assessment taking place.

Prior to this Strategic Assessment, individual departments had been individually recognised in their own right, with the exception of Children's Services.

# 3.  METHODOLOGY

The method of gathering evidence was primarily verbal, using one to one interviews and small group interviews.

A comprehensive pack of information was provided to the assessment team for each Service Group detailing organisational structure, staff lists and business planning information.

The assessment was conducted over a period of 5 days by a team of 3 Assessors who gathered evidence from a selection of 122 people. These interviewees reflected the diversity of roles, length of service, employment status and the range of management responsibilities within the organisation (see below).

| Department | Staff numbers | Sample selected | Assessor |
|---|---|---|---|
| Adult and Community Services | 833 | 25(assessed 10 months ago therefore lower sample size) | Carole Ramshaw Nigel Smith Les Peacock |
| Chief Execs | 342 | 11 | Carole Ramshaw |
| Children's Services | 599 | 30 | Nigel Smith Les Peacock |
| Neighbourhood Services | 1013 | 40 | Carole Ramshaw |
| Regeneration and Planning | 218 | 13 | Nigel Smith |
| Elected Members | 46 | 3 | Carole Ramshaw Nigel Smith |
| Totals | 3051 | 122 | =4% |

ADDITIONAL OBJECTIVES

In addition to the Level 1 assessment, the assessment team were asked to provide additional feedback on the following objectives:

Performance Appraisal

- Employee feedback on the new system and way in which it was rolled out
- Managers experiences of the new system as an appraiser
- The content and effectiveness of the briefing session
- Whether the outcomes of appraisal i.e. targets, PDP, s etc were more useful
- Any areas identified by employees for improvement

Communication

- Are our communication channels effective?
- 7Is the information provided useful and accessible to all?
- Are there any additional communication methods we could use?

Support and Work Life Balance

- Are there any additional forms of support employees would like to receive?


# 4. STRATEGIC SUMMARY

Hartlepool Borough Council is a complex, multi sited organisation, which provides a wide range of services to the people of Hartlepool. There are six Departments consisting of:

- Chief Executives
- Adult and Community Services
- Children's Services
- Neighbourhood Services
- Regeneration and Planning
- Elected Members

The 6 departments work together to support the Community Strategic themes.

These being:

- Developing a more enterprising, vigorous and diverse local economy
- Helping individuals, groups and organisations realise their full potential
- Ensuring people have access to the highest quality of health, social care and support services
- Making Hartlepool a safer place
- Securing a more attractive and sustainable environment
- Ensuring a wide range of accessible, good quality and affordable leisure and cultural opportunities
- Strengthening communities by involving people in decisions which affect their lives.

# 5.   EVIDENCE SUMMARY

The following summary outlines the general findings as determined during interviews held by the Assessor team.

## Developing strategies to improve the performance of the organisation

Hartlepool Borough Council (HBC) was very clear about what they do, where they were going and how they intended to get there. In order to achieve their overall vision  to:

'Build a better future for Hartlepool'  a robust business planning process had been developed, and this had enabled HBC to ensure that everyone understood how they intended to improve its performance and realise its vision.

During interviews, many people referred to the 'Golden Thread' planning process which outlined how individual Service Plans were produced within each department, how they linked to the objectives as set out in the Departmental Plans, and how in turn the departments intended to deliver key actions including those identified in the Corporate Plan.

This approach to business planning had ensured that any objective within the Corporate Plan could be traced through actions in individual Service Plans.

Managers had included representative groups within their individual Service areas, and had also ensured that people were given the opportunity to contribute to developing and achieving the objectives of their teams and HBC.

To ensure people had the capacity to deliver this strategy, HBC had invested time in planning the learning and development priorities in order to achieve the organisational objectives. The Corporate Employee Development and Performance Appraisal Policy and Appraisal Scheme had been revised in October 2007 with a view to:

- Clarify individuals roles and expectations
- Identify learning and development needs
- Establish 'SMART' targets
- Identify actions which contributed to Corporate and Service objectives

At the time of assessment, not all departments had fully completed this process, however people were able to provide examples of the learning and development activities they had planned or requested.   **(Development Point 1)**

Incorporated within the Appraisal process was a Competency Framework which outlined seven values underpinning everything HBC staff was expected to do including:

- Promoting Equality and Diversity
- ICT and Communication
- Healthy and Safe Working
- Quality and Service Improvement
- Specialist Knowledge
- Managing Self
- Leadership and Direction (managers only)

Essential key competencies, and additional specialist and senior competencies were also included within the framework and these were starting to be used when identifying individual learning and development needs.
**(Development Point 2)**

Various opportunities had been taken to equip managers with the skills they required in order to lead, manage and develop people effectively including a range of management development programmes and workshops. These had included:

- Leadership and Management Development Programme (LMDP)
- North East Excellence Manager (NEEM)
- NVQ Level's 5 & 6 for supervisory/ managerial responsibilities and 1$^{st}$ and 2$^{nd}$ tier officers

Return on investment had also been considered when learning and development activities were planned, and measures included:

- Observations
- Close monitoring of targets and performance
- Evaluation of LMDP programme (phases 1 & 2)
- One to one discussions to establish what the individual expected to get out of training and the actual learning outcome

HBC had also created an environment where people had been encouraged to contribute ideas to improve their own and other people's performance. This had been achieved through, for example

- Business planning process
- Director and senior management briefings
- Team meetings
- One to one line manager discussions and Appraisals
- Steering groups

HBC had also ensured that everyone had been given access to the support they required, either via their line managers or through Work Force Development, Union Learning Reps and HR. They had also made a strong commitment to the Government Skills for Life Agenda by signing the Skills Pledge.

During interviews, people at every level were very complimentary in relation to the support they had received on a day to day basis, and in terms of developing skills and progressing within their careers.

As previously mentioned in this summary, HBC had taken steps to make clear to its managers what was expected in terms of the way they should lead, manage and develop people effectively. This had been outlined in the Competency Framework and plans had been put in place to make sure managers had these capabilities. The majority of managers were able to describe these capabilities, however as there were some inconsistencies, further clarification may be necessary.
**(Development Point 3)**

## Taking action to improve the performance of the organisation

Managers clearly recognised how they played a vital role in terms of improving the performance of HBC, and that of the individuals within their respective teams and departments. Many managers referred to the core competencies as set out in the Competency Framework, however others were able to explain, in their own compatible terms, the knowledge, skills and behaviours they believed to be important.  **(Development Point 4)**

Without doubt, all managers considered providing people with constructive feedback on their performance an essential part of their roles, and referred to the Performance Appraisal process as one of the forums used. Informal opportunities were also taken whenever the need arose or presented itself.

The majority of people spoke very favourably about the level of support they received from their managers, and those at a more senior level. There were, however a minority number of people who felt that whilst their first line managers were always on hand to offer support, in certain areas 2$^{nd}$ tier managers were seldom seen in locations, especially outside of the Civic Centre.  **(Development Point 5)**

Managers provided examples of how they had recognised the individual contribution people had made to performance through for example, appraisal, one to one discussions and during team meetings. They had also let individuals know how much their contribution had been valued by including articles in Newsletters, displaying customer letters on notice boards, verbal feedback, formal feedback and nominations for awards.

People provided many example of how they were making a positive contribution to the success of HBC and spoke very proudly of their achievements. They also confirmed that they felt valued as managers had taken many opportunities to thank people or offer praise for a job well done.

During the assessment, it was clear to the Assessor team that managers were keen to include people in discussions, have a greater role in decision making and to take ownership and responsibility. Many forums had been put in place to enable this to happen including team meetings, steering groups, workforce planning groups, pilot groups, Partnership meetings etc.

People confirmed they had been included in decision making processes, at a level appropriate to their roles, and provided examples of how they had been tasked with taking forward some of their suggestions. (See Appendices for examples).

Managers described how people's learning and development needs had been met through for example:

- Internal and external delivery
- E-learning
- On the job coaching and shadowing
- Attending conferences
- Modern Apprenticeships
- Proving suitable induction training incorporating a range of activities
- Provision of professional qualifications, both internally and externally
- Encouraging 'Lifelong Learning' via initiatives such as the Together Project – joint trade union led project aimed at raising the basic skills of the workplace

The revised Appraisal process had also included a procedure to centrally collate all L & D requests within each Department and to review the progress of L & D within a given timescale.

People spoke very positively in relation to the opportunities they had taken to learn and develop, and provided examples of how they had applied the learning to their roles (See Appendices for examples).

## Evaluating the impact on the performance of the organisation

Managers were able to describe the overall investment in money and resources within their own respective areas Training budgets had been closely monitored and full advantage taken of funding opportunities.  At Corporate level, 750k had been spent on training and close monitoring continues. Managers also explained that a number of training providers were used, either internally or externally, however, at the time of assessment an initiative was underway to catalogue all training providers after having completed a rigorous selection process. The time spent on formal training was also included within the Departmental Plans, and via the Corporate booking system, however this did not reflect the full picture of all learning and development activities.  **(Development Point 6)**

Many individual examples were provided to confirm that learning and development had improved the performance of HBC. These included:

- Managers 'stepping up' and taking responsibility for additional duties therefore allowing senior managers to spend more time focussing on strategic planning
- Increase in professional qualifications gained
- Continuous achievement of performance targets
- Increase in additional services available to the community as a result of gaining skills in house

Managers were also able to describe how the evaluation of their investment in people had been used to inform future strategies for improving performance. For example, one area which had been fully evaluated was the Management Development training. Now in phase 3, a full evaluation had taken place by 'The Guardians Group' with a view to identify issues and provide recommendations for improvement. This process identified several areas for improvement including for example:

- Method of measurement – not all participants would have the same understanding of the scoring system
- Lack of specialist learning
- Not enough focus on senior management skill development
- Need for increased tailoring to individual needs

At the time of assessment, phase 3 was underway with mandatory project modules identified for all managers to attend and a broader course catalogue outlining optional skill sessions.

Steps were also underway to look at developing an in-house professional qualification to the LMDP programme.

During interviews, managers were able to provide of examples of improvements they had made in terms of managing and developing people and these were reflected in comments made by other members of staff. (See Appendices for examples.)

People also provided examples of how learning and development had improved their performance, the performance of their teams and HBC as a whole. (See Appendices for examples).

# 6.    SUMMARY OF KEY STRENGTHS

The strengths of each Department are detailed within the assessment findings for that department. The overall strengths that came through during the assessment were as follows.

- Investment in People Development – a strong commitment to individual development including accredited professional recognition

- Leadership and Management Development – An impressive on-going development programme for existing managers and potential leaders of the future

- Business planning process – a well structured business planning process with clear links to overall Corporate objectives through to Service plans and individual objectives (also note development area)

- Management support – a high level of support in terms of role specific requirements and Work-Life Balance issues

- Communication – various mechanisms in place to communicate information with on-going evaluation by local managers to make it effective and meaningful to people.

- Recognition and reward – people felt that their contribution was valued and recognised. The Celebration of Success event (now in 2<sup>nd</sup> year) proved to be a huge success and appreciated by everyone. This was not just in terms of receiving awards, but in terms of bringing people together and focussing on achievements.

- Work-force Development – Forward planning to continuously improve learning and development provision.  A wide range of focus groups using expertise from across HBC

# 7.    SUMMARY OF AREAS FOR IMPROVEMENT

## Development Point 1 -         Learning and Development Strategy

The Performance Appraisal Scheme had not been fully completed across all departments at the time of this assessment. To ensure consistency, a review of progress and effectiveness of how the scheme was working would provide an opportunity to further re-enforce the procedure and make any necessary amendments to the process. As there were a minority number of managers who had been unable to attend the briefing sessions, or in some cases had attended briefings much earlier in the year, there may also be some value in re-running these useful and informative sessions again for those who wish to attend.

## Development Points 2 & 3    -         Leadership and Management Strategy

Whilst management capabilities had been clearly defined, not all managers referred to the Competency Framework. As the framework sets out the various elements required of managers, and potential managers there may be an opportunity to re-affirm how the framework can be used to identify on going development areas, therefore make full use of the broad range of modules available within the LMDP.

## Development Point 4 -         Management Effectiveness Strategy

Linked to Development Points 2 & 3, Managers were able to describe how they believed they were being effective. However, as some of their examples did not relate to the core competency requirements, a more rounded understanding of their responsibilities would further strengthen their effectiveness following any additional training requirements they may have.

## Development Point 5 -         Management Effectiveness Strategy

The majority of people spoke very favourably about the level of support they received from there direct line managers. However, there was a view that 2$^{nd}$ tier managers were seldom seen visiting locations and this would be something that would be welcomed.

## Development Point 6 -         Performance Measurement Strategy

Whilst measures were in place to capture the cost, time and resources used to provide formal learning and development activities, HBC may wish to consider ways of developing a more comprehensive approach to the cost/benefit analysis of all learning and development activities including the overall investment of time as well as money and resources.

# 8.   ADDITIONAL OBJECTIVES

## Performance Appraisal

Managers & people's feedback on the new system and implementation via the training & briefing sessions was generally very positive. Some people said that they would have preferred a "Cascade Briefing" from their own line managers. The majority of people agreed that it was an improvement on previous system and that the competency framework was, on the whole, a very useful way of relating appraisal to the job. Similar feedback was received with respect to appraisal outcomes such as PDP's & agreed objectives. In addition, some people interviewed had still yet to experience the new system.

Some people, namely those in very specialist roles, did question the relevance of some of the competencies with respect to their day to day job roles. Some people also made the point that the success of the new system was very dependent on the ability of their line manager to add job related context to the framework descriptors. A minority of people did express some concern at their own manager's lack of knowledge with respect to the appraisal process & specifically the competency framework. Also for some people a considerable time period had passed between receiving the briefing and actually going through the Appraisal Process in practice.

*Examples of comments received:*

*"Good in general but not specific enough to my role"*
*"Better for identifying performance & potential capability issues"*
*"It's quicker, better & more precise"*
*"Best model we've used – generates specific PDP's & training"*
*"Competencies are too generic – needs to be more specific to my role"*
*"I was initially concerned about the grading system but it opened up other areas for discussion including the content of my job description"*
*"Grades are subject to individual interpretation"*
*"Initial briefings were good & it suits the marketing type roles perfectly. I think other roles such as plumbers, engineers etc might need something more specific though"*
*"It's really good and I enjoyed the training too"*
*"I've only had experience of the old system – I've been forgot about"*
*"It's the best appraisal system we've had so far"*

## Communication

Feedback was very positive and people appreciated the wide variety of different channels used. The only negative comments received were on the amount of e-mails received. One person did feel that the communication in their team had suffered greatly due to a lack of line management resource & capability.

*Examples of comments received:*

*"Communications are good here – we have briefings, meetings and our managers are very approachable"*
*"There are lots of different ways to get information"*
*"Too many e-mails"*
*"Company communication is good but it's poor in our team"*

<u>Support & Work Life Balance</u>

It was noticeable that when asked about this the majority of people struggled to think of any additional support they needed. In a few cases people spoke about resourcing issues that were having an impact on their work load & work life balance. General feedback on work life balance was positive and people having experience of flexi-time & home working were very supportive of these ways of working.

*Examples of comments received:*

*"I'm very frustrated at the amount of time it takes to appoint a new member of staff although I know it's because of the vetting & checking that needs to take place"*
*"I feel very well supported – great team culture here"*
*"Really good here – I've had Carer's Leave. Some departments in the Council have flexitime which is really good"*
*"Mangers are very visible which is good"*
*"It would be good to use more of our internal knowledge for learning & training rather than external people"*

# 9. CONCLUSION
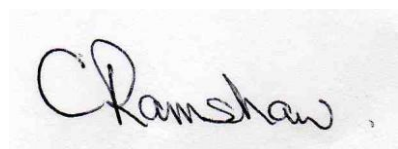
Staff were clearly committed to providing a high quality service to the people of Hartlepool and were extremely proud of their achievements. The culture of continuous improvement was firmly embedded across HBC and staff were embracing their roles and responsibilities.

**On the basis of the evidence collected during this assessment I am happy to recommend that Hartlepool Borough Council be recognised as an Investor in People organisation.**

The Assessor team would like to thank the individuals responsible for co-ordinating the assessment process within the individual departments.

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## Assessor Endorsement

In view of all the evidence collected during the assessment, it is recommended that **Hartlepool Borough Council** be recognised as an Investor in People.

*C Ramshaw*

Signed:                                    Date:  11<sup>th</sup> August 2008

Carole Ramshaw
Assessor

On behalf of Assessment North East

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# ASSESSMENT FINDINGS BY DEPARTMENT

# ADULT AND COMMUNITY SERVICES

## 1. FINDINGS AGAINST THE STANDARD

### DEVELOPING STRATEGIES TO IMPROVE THE PERFORMANCE OF THE ORGANISATION
*- An Investor in People develops effective strategies to improve the performance of the organisation.*

1. Theme - **BUSINESS STRATEGY** - A strategy for improving the performance of the organisation is clearly defined and understood.

| |
|---|
| 1. Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance |
| 2. Top managers ensure the organisation has a business plan with measurable performance objectives |
| 3. Top managers make sure there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisations business plan |
| 4. Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives |
| 5. People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan |
| 6. People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them |

Discussions with senior managers provided evidence that Hartlepool Borough Council Adult and Community Services had a clear purpose and vision and a strategy for improving performance. In relation to the purpose, vision and values senior managers provided the following:

*"To provide a service to the adult and broader community."*
*"To make Hartlepool a safer place by reducing crime, fear of crime & disorder."*
*"To ensure a wide range of good quality, affordable, accessible leisure & culture opportunities."*

This vision was communicated through an overarching Community Strategy and Hartlepool Borough Council (HBC) Plan, which sets out key priorities and goals for the Council. Every service area within the Council prepared a Service Improvement Plan which clearly outlined the key priorities, performance targets and timescales.

Senior managers described how people at all levels were encouraged to contribute to the Service Improvement Planning process. Various meetings took place with staff including staff briefings and seminars as well as with members of the public.

To provide this service, they were working as part of the Business Transformation Project in order to focus on:

- People Administration – to massage change and be responsive to the needs of the Adult and Community Service
- To consider Service Area changes – e.g. Adult Social Care
- Business Process Re-engineering – improve efficiency in relation to internal procedures e.g. centralise office payments and re-engineering documents

This had been developed as a result of 'blue sky thinking' with the Departmental Strategy Team and a series of workshops had been held to consider the links between the Corporate Plan, Departmental Plan and how the Service would contribute towards the overall objectives of HBC.

The Service Plan had been developed using this 'Golden Thread' process resulting in an Action Plan complete with Risk Management, Key Performance Indicators and clear targets outlined.

Good use of ICT & Project Management software means that this planning process is well supported by effective Management Information. This had resulted in greater accountability with respect to performance across all roles.

Representative groups had been included in this planning process either within their own service areas or through official channels such as Joint CNT quarterly liaison meetings. These links have been used to good effect when budget changes had been considered and when considering structure changes during the management of change particularly, as a good example, in relation to the on-going job evaluation exercise.

Managers described how they involved people at various stages when developing the Service Improvement Plan and when agreeing team and individual objectives. Various forums were used such as Planning Groups, Development Management Team meetings, steering groups and team meetings.

*"We did a session on the new Indoor Sports Facility and mapped out are Vision and Future etc."*
*"The aim is for them to develop our Leisure Centres by developing some Case Studies and publishing them."*

Managers described how they had been involved in the business planning process by attending management meetings to discuss and identify priorities, before presenting to their individual teams for further discussion and comment. For example, one manager explained that he had developed a draft of the Rights of Way Improvement Plan which had included a Statement of Actions and targets. This had then been discussed with his team in order to determine how they would be achieved and appropriate measures included.

Another manager explained how she had shared the team objectives with individuals during recent appraisals which had enabled her to discuss how each team member could contribute towards achieving them. For example, one team objective was to improve Tees Valley Tourism, therefore an action was agreed for a team member to explore what events were happening in the region with view to working in partnership in some way to develop knowledge of the team and individuals.

People clearly understood the objectives of the department as well as their team's and personal contribution to achieving them.

*"Our job is to attract visitors to Hartlepool"*

2. Theme - **LEARNING AND DEVELOPMENT** - Learning and development is planned to achieve the organisation's objectives.

> 1. Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.
> 2. Managers can explain team learning and development needs, the activities planned to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.
> 3. People can explain how they are involved in identifying their learning and development needs and the activities planned to meet them.
> 4. People can explain what their learning and development activities should achieve for them, their team and the organisation.

Senior managers explained that there was a range of learning and development needs across the department. For example, as there was now more mobile working in the department, there had been a requirement for one team member to look at managing information provided therefore research various options. Another requirement was to utilise skills and develop further knowledge in order to upgrade the database used within Social Care. Another team member had been placed in charge of commissioning procurement and was being provided with additional skills during an NVQ programme.

One senior manager explained that the Workforce Strand included a range of core learning and development elements for managers including:

- Health and Safety
- Child Protection
- Presentation Skills
- Managing Finance and income
- Recruitment and Selection

Another explained that she had recently completed appraisals with her team, and that the revised procedure had made it easier to link the needs of the individual with departmental requirements such as preparations for the Tall Ships in 2010. She also explained that team members had very individual needs such as:

- Building Confidence
- Learning how to utilise knowledge and make suggestions how team may improve
- Improving customer service skills

In addition, she also explained that there were also common areas for development and a new scheme for Tourist Information staff had been developed through One North East which all staff were currently attending workshops for.

A range of specific team development issues were being addressed including:

*"I am developing a pilot with staff at the Historic Quay to enable people to stay on and develop".*
*"I have been able to backfill posts to enable people to take up secondment opportunities."*

A specific need identified in Leisure Centres was related to the need to get staff to take more ownership of their Centres and learn to work better with and respect each other more.

*"Although it was not everyone who was causing the issue we needed to get some collective ownership. We used the QUEST accreditation standard for the first time last year and undertook a self assessment in March this year – We got everyone back for the feedback and the staff told us that they welcomed it and that it had helped some potentially serious issues to be 'nipped in the bud'."*

Another senior manager gave an example of the need to develop the right ICT skills infrastructure as priority area in the Service Plan. This was due to a new system being commissioned to monitor the provision of social care contacts.

In general terms, learning and development was available from different sources such as:

- The Leadership and Management Development Programme (LMDP) via Work Force Development
- Mandatory training via Corporate HR
- External consultancy
- Specific development courses such as the NLP Diploma, Welcome Host/Welcome all and Handling Aggression etc.
- Seminars and external events
- Working within project groups to develop knowledge of, for example, Trusts such as Joseph Rowntree

Senior managers also explained that various measures were taken to ensure the learning and development activities were having the desired impact including:

- Regular discussions to established what was being gained/ not gained from the training
- Working towards and meeting external accreditations such as QUEST for Leisure Centres
- Review of KPI's to monitor progress
- One-to-one discussions during training reviews
- Observations
- Performance reports
- Customer and Service User feedback
- Mystery Shoppers
- Team meetings to consider the wider impact of learning and to share and cascade the information and knowledge gained

*"We involve Service Users in feedback and in Induction."*
*"We use Mystery Shoppers every 6 weeks."*

At team level, managers and supervisors were responsible for ensuring that peoples learning and development needs were identified and addressed.

*"We have a TNA for every post in our department."*
*"I have a training matrix for the team."*

One manager described how she had attended NEEM training. As a result she was able to find out more about the strengths & developmental areas of two of her people. One lacked in confidence and the other had tended to put a brave face on things when in fact she was struggling with work issues. The manager had learned to read the warning signs in both cases.

Another manager explained that certain legislative requirements were considered to be a priority for both himself and his team. This information had usually been provided by for example the Institute of Public Rights of Way. Observations, discussions and the quality of knowledge shared post training were all methods used to determine the measure of success.

Another explained how one of his people had been able to increase legislative knowledge by attending seminars and networking activities. His measure of learning and impact was:

*"I'll observe her to see how she responds to external events"*

One manager was able to monitor learning & impact by conducting observations on one of her people whilst studying for a Practice Teacher Qualification.

During interviews, it was evident that people had a very clear understanding of how learning and development could improve their own performance, their team success and the overall performance of the department and examples included:
- Learning from colleagues "on the job"
- Making sure own knowledge was up to date to ensure staff can be updated in terms of legislation
- Provision of first class customer service
- Provide effective leadership
- Manual handling
- Leadership and Management

3. Theme - **PEOPLE MANAGEMENT STRATEGY** - Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.

> 1. Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance.
> 2. Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.
> 3. Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.
> 4. People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance.
> 5. People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance.

Senior managers described the strategies that were in place to encourage people to share their ideas and to offer suggestions of how they could improve their own performance, and the performance of their team. For example, the revised Appraisal Scheme and process was implemented for various reasons, one of which was to draw out people's needs but to also discuss how best objectives could be achieved.

*"We have a very knowledgeable workforce and people offer inspirational ideas. Why wouldn't we listen?"*

Senior managers also described how many opportunities had been provided to create an environment where people had been encouraged to contribute ideas such as:
- Consultation when developing the Service Improvement Plan and in developing individual and group objectives
- Focus groups
- Team meetings
- Planning away days
- Director briefing sessions

One senior manager made a specific point of saying how he had recruited managers having a specific interest in & passion for Learning and Equality. He also felt that he behaved as a conscious role model for other managers and people.

During interviews with other senior managers and managers, several commented that they had always considered their team members as individuals, therefore they would certainly have very different needs, especially in terms of how they received communications and information updates.

One manager explained how she had dedicated a minimum of 4 hours every week to briefings. This was to ensure that every one of her part-time staff were kept up to date.

Another manager explained that she had used a range of methods such as e-bulletins, one-to-ones and workshops to ensure communications and learning opportunities were available to all. Her team have a wide range of learning challenges from administration to higher level skills. Another had arranged for one of his staff to study for a part-time Degree in order to fit in with work and home demands.

One manager explained how she had realised that the recent training the entire team had attended had not been quite as effective for everyone as she had hoped. Most of the team were fine, however, one member of staff had problems getting to grips with the new system and technology. This had been addressed by one-to-one coaching at a much slower pace which had proved to be much more successful.

Another manager explained that she had a fully equipped team of very experienced people, however they each preferred to learn in their own way. She stated that individual needs would be best met by a range of methods including attending conferences, reading information, e-earning or by brain storming etc. She further explained that as she knew her team members so well, she also expected certain team members would need her added support, particularly when dealing with complex and sometimes distressing situations.

*"We often spend time just talking through the situation to make sure all options have been considered and these often becoming extremely useful learning opportunities."*

Many comments were made to provide evidence of people believing that managers were genuinely committed to ensuring that everyone had appropriate and fair access to support.

*"She's very approachable and I know I can always ask for help"*

Examples were also provided of people being encouraged to contribute ideas to improve performance through:

- Team meetings
- Away days
- One to one discussion with manager
- Steering groups

## 4. Theme - LEADERSHIP AND MANAGEMENT STRATEGY - The capabilities managers lead to lead, manage and develop people effectively are clearly defined and understood.

1. Top managers can describe the knowledge, skills and behaviours that managers need to lead, manage and develop people effectively, and plans they have in place to make sure managers have these capabilities.
2. Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.
3. People can describe what their manager should be doing to lead, manage and develop them effectively.

Senior managers referred to the Competency Framework within the new Performance Appraisal Scheme and process as a reference to the desired capabilities required of managers. They explained that whilst the Framework primarily set out requirements of all staff, management requirements were clearly identified and included areas such as:

- Leadership Skills – developing own skills
- Managing Performance – conducting appraisals
- Developing Skills – discussing individual development and providing skills and knowledge
- Managing People – building relationships
- Problem Solving – having a 'can do' attitude

A wide range of developmental opportunities had been made available including:

- North East Excellence Management training (NEEM)
- Leadership and Management Development Programme
- 360 Feedback
- External professional qualifications

Managers were also able to describe these capabilities in their own terms

- Being diplomatic
- Being assertive
- Confident
- Listening
- Being knowledgeable about legislation
- Managing people
- Motivating people
- Managing performance

There were, however a small number of managers who did not refer to the Competency Framework and gave their own opinions of what they believed to be important in relation to the role of manager.

Examples of comments received were:
*"Direction"*
*"Make people feel valued"*
*"Gain respect"*
*"Flexibility"*
*"Knowledge"*
*"Networking Skills"*
*"Empathy"*
*"Emotional Intelligence"*

(Development Point 1)

The Leadership and Management programme was available for all managers to attend and had been designed in order to provide managers with the skills and knowledge they needed to lead their teams effectively and to ensure the requirements of the "Hartlepool Manager" was fully understood and consistent across the Service.

One Senior Manager had experimented with 360 degree feedback in an attempt to raise the self awareness of its departmental managers.

The managers interviewed appeared to have a wide and varied range of management experience and had attended modules within the Leadership and Management programme in order to enhance their skills and attributes.

All people interviewed were very positive about the general support provided by their managers. However, no one was able to describe specific areas from the framework of competencies for managers.

Examples included:

- Leadership
- Providing direction
- Being there for you
- Knowledge of the job
- Listening
- Approachable
- Supporting you

**TAKING ACTION TO IMPROVE THE PERFORMANCE OF THE ORGANISATION -** *An Investor in People takes effective action to improve the performance of the organisation through its people.*

5. Theme - **MANAGEMENT EFFECTIVENESS** - Managers are effective in leading, managing and developing people.

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| 1. Managers can explain how they are effective in leading, managing and developing people. |
| 2. Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate. |
| 3. People can explain how their managers are effective in leading, managing and developing them. |
| 4. People can give examples of how they receive constructive feedback on their performance regularly and when appropriate. |

Managers were able to provide examples of how they were effective in leading, managing and developing people. For example, a manager explained that he believed it was important to get to know key people with HBC as it enabled him to build relationships, and gather as much information as he could which could then be shared with his team.

Another manager believed he was being effective by fully understanding policies and procedures in order to assist and direct his team in an appropriate way.

*"Understanding the scoring system in the Appraisal system is vital if I'm to be fair with everyone."*

Several managers also explained that providing feedback on performance was an essential part of any manager's role. One manager described how they had thanked a team member for doing a good job, and how she explained the impact in relation to what had been achieved, stock was flowing faster and there were fewer backlogs.

*"I have set up the QA system and run it."*

One manager explained how she has purposefully given very positive feedback to a member of staff during a team meeting to increase her confidence. This was after the person had provided assistance during the management of a summer crafts fair.

Another manager had explained how she had been very impressed with how a team member had coped with a group of 20 children (and parents) during a Summer Crafts event and felt it important to say so at the end of the session.
*"I felt it would end the session on a high note."*

Numerous examples were given to confirm that people felt their managers were effective. The majority of people interviewed cited their manager's occupational knowledge and supportive approach as their main areas of effectiveness, however in the majority of interviews they gave their own opinions with very few referring to the Competency Framework.

Examples included:
- Policy awareness
- Knowledge of overarching Council issues
- Being approachable
- Listening to people
- Challenging people
- Supporting staff
- Knowledge of job
- Developing you
- Giving feedback
- Developing you
(See Development Point 1)

One team member explained that for a limited period of time she had been covering 2 roles which involved taking on certain management responsibilities. Her manager had recognised that she was becoming slightly stressed one day and invited her to come in, sit down and have a chat over coffee. She had made a point of saying what a good job she was doing, however also advised her to slow down the pace and think more about prioritising tasks.

*"My manager is my mentor. I can go to her with anything, the best manager I've ever had. Because of her, I'm totally happy in the post."*

Interviews with people confirmed that feedback on performance was formally given through appraisals as well as informally as part of an on-going basis. Examples given were:

*"I received excellent feedback during my appraisal – we agreed scores on the whole."*
*"I've received feedback about stock management control – 'It's great to see the stock flying through the department now' she said."*
*"My manager made a point of coming to see me at home. I'd had a bad day. She told me to chill out and told me how well I'd done."*

6. Theme - **RECOGNITION AND REWARD** - People's contribution to the organisation is recognised and valued.

> 1. Managers can give examples of how they recognise and value people's individual contribution to the organisation.
> 2. People can describe how they contribute to the organisation and believe they make a positive difference to its performance.
> 3. People can describe how their contribution to the organisation is recognised and valued.

Managers provided a range of examples to show how they recognised and valued people's individual contributions to the organisation. For example, through:

- Asking for their opinions
- Provision of verbal praise and thanks for jobs done well – on a one-to-one basis and at team meetings
- Positive comments expressed within appraisal documentation
- Head of Service feedback
- Nominations for awards
- Forwarding personal letters and e-mails of thanks

*"Staff are the lifeblood of the organisation. They go above and beyond what's expected and it's important they feel appreciated for the work they do."*
*"Our managers are very god at recognising our achievements."*
*"I often give informal thanks, and recently people have received nominations for various Council wide awards."*
*"We have had 2 nominations for the Celebration of Success awards."*

People consistently stated that they did believe they made a positive difference to the performance of the Department with specific examples given such as:

- Meeting all requirements of the job
- Giving visitors to Hartlepool a warm welcome
- Helping people in times of great need

People also commented that they felt their contribution was recognised and valued by the Service.

*"Yes, I do feel valued. They (managers) regularly say 'Thank You' and give praise for a job well done."*
*"I'd done some research about health & safety issues in Adult Care. This had been of benefit to the team too and I got a big thank you from my manager."*
*"I feel very valued by the Council and by my manager. Our Director is brilliant."*
*"I'm privy to a lot of confidential information here and it feels great to be trusted."*

7. Theme - **INVOLVEMENT AND EMPOWERMENT** - People are encouraged to take ownership and responsibility by being involved in decision making.

> 1. Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist.
> 2. People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role.
> 3. People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level appropriate to their role.

Managers described how they promoted a sense of ownership and responsibility by encouraging people to be involved in decision making. For example, one manager explained how she had included her staff in a Business Process Re-engineering (BPR) group in order identify how processes could be improved and made more efficient.

*"This process is excellent for bringing people into discussions and really using their expertise."*

Managers spoke of how they had delegated project responsibility to their people for some of the following areas:

- Project budget
- Diversity awareness
- Health and safety
- Information cascades on items of interest to the team such as legislative changes

*"I am happy for them to make their own decisions and only come and see me if they need – I give them as much autonomy as I can."*

Other managers described how they promoted a sense of ownership and responsibility and one explained how he had delegated responsibility for a project to one of his people and how this had involved him actually taking directions and instructions from her, *"for the first time."*

Another manager explained how she had asked staff for their opinions when redesigning the layout of a library, ordering stock and when considering what the residents of the area would most appreciate.

People were able to describe how they had been encouraged to be involved when decisions needed to be taken. Examples include:

- Organising my weekly schedule to suit both colleagues and myself
- Making the best use of the resources we have
- Improving processes and procedures which would benefit everyone

People were able to describe how they had been encouraged to take ownership and responsibility for decisions which may affect the performance of individuals, teams and the organisation. For example, one member of staff explained how she had represented her manager at a Skills for Care Alliance Board. The agenda had been to learn about funding and gain an understanding of the bigger picture. This had contributed to a Medication Strategy being developed resulting in a standalone unit being set up to deal with the safe administration of medication.

## 8. Theme - LEARNING AND DEVELOPMENT - People learn and develop effectively.

1. Managers can describe how they make sure that people's learning and development needs are met.
2. People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role.
3. People who are new to the organisation, and those new to a role, can describe how their induction has enabled them to perform effectively.

Managers provided evidence to explain how they ensured that learning and development needs were met, either as a result of appraisals or when the need arose following, for example changes to legislation. They also explained that a comprehensive catalogue of courses was available via the Work Force Development team or Corporate HR and that in some cases, where there had been a need for role specific training, managers or the individual would research the possibilities and examine content before making a formal request.

Managers also explained:

*"All training and development is recorded in Log Books and shared at team meetings."*
*"Evaluation forms are read not just input."*
*"We have monthly one-to-ones to support on INTEGRA and I have used a colleague as a buddy to support her."*
*"In the one-to-ones we discuss if the training has been effective and if not why not – Would you recommend to others?"*

People were able to give many examples of how their learning needs had been met. Examples included:

- Health & Safety –improved awareness
- Management Development – gaining new skills and knowledge helping me to become a successful leader
- Manual Handling – self protection
- Disability awareness – considering others
- External qualifications – personal development
- A range of NVQ Courses e.g. Level 3 in Management and Level 2 in Caretaking etc.
- Equality and Diversity – knowledge of how to relate to people
- 5 day course on how to handle referrals
- ITQ – safer storage of personal and health critical data
- ITQ - ability to produce professional documents to a high standard
- ITQ – sleeker process therefore ability to respond quicker when asking for information or vulnerable people need assistance
- Law and legislation –understanding of Mental Health Acts and having knowledge of other inspections such as CSCI

People who had recently joined the Department, those who had changed roles and those recently promoted held the view that their induction had been effective, as it had included an overview of the role and on the job training. Those moving into a role with management responsibilities were continuing to benefit from ongoing management development training, and had been provided with the added support of regular sessions with a previous manager in the role.

*"The induction was really good - The 1$^{st}$ day covered the welcome to the Council and put names to faces through a DVD – It was nice to get a real Welcome."*
*"The one-to-one sessions were really useful as they gave me a real insight into the role requirements and the issues I would come across on a day to day basis."*

Another person who had recently started a new role explained how she had received a good induction to it by shadowing the previous tenant for a period of time.

**EVALUATING THE IMPACT ON THE PERFORMANCE OF THE ORGANISATION** - *An Investor in People can demonstrate the impact of its investment in people on the performance of the organisation*

9.    Theme - **PERFORMANCE MANAGEMENT** - Investment in people improves the performance of the organisation.

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| 1. Top managers can describe the overall investment of time, money and resources in learning and development.<br>2. Top managers can explain and quantify, where appropriate, how learning and development has improved the performance of the organisation.<br>3. Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation.<br>4. Managers can give examples of how learning and development has improved the performance of their team and the organisation.<br>5. People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation. |

Senior managers explained that there had been approximately £450k spent on learning and development during 2007/2008. Many different resources had been used to provide training including

- Work-Force Development
- Corporate HR
- External consultants
- Internal technical experts

Senior managers were able to provide clear evidence of how they believed learning and development had improved the performance of the Service. For example, one senior manager explained how the NEEM Management training had opened people's eyes to how other people behaved. This had resulted in various improvements including people being more prepared to listen and consider what other people are saying, rather than dominate the group.

Senior managers confirmed that at a senior level there was a clear understanding of the value gained from learning and development activities. The overall performance is monitored and evaluated as part of an on-going process during senior management meetings and at individual team level. This was also supported by more detailed reporting such as CPA audit reports, performance management reports and working with accreditations such as the QUEST standard plus other customer surveys etc.

*"It's showing that HBC are investing in people, for the right reasons."*
*"All options are considered before crucial decisions are made which must be of benefit to the Service."*

Senior managers also highlighted that their own observations had confirmed that their commitment to investing in their people had made a difference as people were becoming more competent and confident within their roles and ready to face challenges they may have previously avoided.

Other examples given included:
- Managers leading by example and implementing skills and behaviours as determined in the Management Development Programme.
- Observed changes in behaviour
- Impact on KPI's
- Retention of staff

- Greater involvement in Service Plan development through extra confidence gained
- Audit reports

*"There have been observed behavioural changes after the QUEST feedback – and because of the Staff Chats everyone can bring issues up – it has given them a voice."*
*"Our Health and Safety Audit Reports are excellent."*

Although there was a good understanding of actual monies spent on training there was not an understanding of the amount of staff time spent on training, learning and development. (Development Point 2)

Managers at all levels were able to provide examples to show how the performance of the organisation had improved as a result of learning and development.

- Coaching qualification for Leisure Attendants – they wanted to do it and it's an add on to the services on offer
- Training has helped to maintain 4 Star status by achieving performance targets
- Secure in the knowledge that there are well trained staff in the department who rarely need to phone for assistance
- Multi skilling staff therefore able to offer a more rounded service every time
- A cost/benefit analysis of INTEGRA training
- Pool Lifeguards trained externally, and now delivering all training for new Lifeguards internally therefore saving money
- IBOSH training for Duty Manager – now responsible for the Health & Safety of the entire building therefore further re-enforcement of safety regulations
- Project team development work looking at areas such as managing sickness procedures with clear evidence that sickness levels are reducing
- Dissemination of knowledge following training courses such as Law and Legislation proving to be instrumental in protecting human rights of every individual
- KPI's being achieved
- Reduction in errors & the need for re-work

*"All the team has an NVQ in Business Improvement."*
*"We got some IDA money to do some work with front line staff and did some Learning Sets with domestic staff in Education – the evaluations were brilliant and included what they had learnt and how they were going to use it."*

People also provided numerous examples of how learning and development had improved their individual performance, their team's performance and ultimately the performance of the Service:
- Improved accuracy in performance reports
- More confidence, therefore more productive
- Use of new skills such as Business Process Re-Engineering to improve efficiencies
- Development of specialist skills saving money for the Service by providing service internally
- Cascading knowledge following training courses therefore reducing overall training costs
- Career development resulting in staff retention and avoidance of extra recruiting costs

10. Theme - **CONTINUOUS IMPROVEMENT** - Improvements are continually made to the way people are managed and developed.

1. Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people.
2. Managers can give examples of improvements they have made to the way they manage and develop people.
3. People can give examples of improvements that have been made to the way the organisation manages and develops its people.

Senior managers confirmed that specific evaluation of all learning and development activities takes place to monitor success and to make improvements and changes where necessary. One senior manager explained how he was now making much greater use of feedback from his managers & people to inform future planning cycles. An example surrounded suggestions made to include specific modules such as Finance in the LMDP.

Senior managers explained that on-going evaluation of how people were managed and developed would be vital in the future, however this process was now firmly embedded and had resulted in various improvements including:

- The Revised Appraisal Scheme and process
- Further enhancements to the Leadership and Management Development Programme
- A range of Improved systems for reporting performance information
- Improvement to specific training programmes such as that on INTEGRA

Managers were able to provide examples of improvements they had made to the way they managed and developed people including;

- Treating people as individuals and not trying to manage everyone in the same way
- Considering learning styles
- Thinking about manner and intensity of communication so as not to dominate group discussions
- Supporting Train the Trainer Qualifications due to lack of responsiveness of external provision
- More consultation before making decisions
- Streamlining processes
- Cutting down on paper files and encouraging people to store date electronically
- Sharing knowledge rather than holding on to it

A wide range of examples were also provided by people of how improvements had been made to the way people were managed and developed including;

- Managers asking for our opinion
- More scope for learning
- More scope for networking & finding out about alternative ways of doing things
- Opportunity to lead projects & have greater responsibility

# 2.    KEY STRENGTHS

## VISION, CORE VALUES and BUSINESS PLANNING

Hartlepool Borough Council Adult and Community Services had a clear purpose and vision supported by a strategy for improving performance.

Working through the Business Transformation Project in order to focus on:

- People Administration – to massage change and be responsive to the needs of the Adult and Community Service
- To consider Service Area changes – e.g. Adult Social Care
- Business Process Re-engineering – improve efficiency in relation to internal procedures e.g. centralise office payments and re-engineering documents

Developed through 'blue sky thinking' with the Departmental Strategy Team and a series of workshops to consider the links between the Corporate Plan, Departmental Plan and how the Service would contribute towards the overall objectives of HBC.

The Service Plan had been developed using this 'Golden Thread' process resulting in an Action Plan complete with Risk Management, Key Performance Indicators and clear targets outlined.

## LEARNING and DEVELOPMENT PLANNING

A wide range of learning and development needs had been identified across the Service and incorporated into the Adult and Community Services Workforce Development Plan and including a range of elements from the Leadership and Management Development Programme to a range of specific development and work related courses such as the NLP Diploma, Welcome Host/Welcome all and Handling Aggression etc.

Other longer term development included a wide range of Professional, Academic and NVQ accredited development programmes.

## MANAGEMENT INFORMATON and ICT

Good use of ICT and Project Management software means that this planning process is well supported by effective Management Information. This had resulted in greater accountability with respect to performance across all roles.

## MANAGEMENT SUPPORT

Many people referred to the high level of support they received from their immediate managers and from those in a more senior position. This support had been provided on a day to day basis in terms of role requirements and also in terms of development.

## STAFF INVOLVEMENT

During almost all of the interviews people at every level were able to give examples of how they were involved in decision making and planning. They were able to describe how they had been encouraged to take ownership and responsibility for decisions which affected the performance of individuals, teams and the organisation.

## LEADERSHIP AND MANAGEMENT DEVELOPMENT

A huge investment in terms of providing managers with the capabilities they need in order to lead, manage and develop people effectively.

## PEOPLE DEVELOPMENT

Many example of how people had been encouraged to develop within their jobs and careers. During interviews, it was evident that people had a very clear understanding of how learning and development could improve their own performance, their team success and the overall performance of the Service and examples included:

- Learning from colleagues "on the job"
- Making sure own knowledge was up to date to ensure staff can be updated in terms of legislation
- Provision of first class customer service
- Provide effective leadership
- Manual handling
- Leadership and Management

## EVALUATION of PERFORMANCE

There was clear evidence provided on how learning and development had improved the performance of the Service. Including a range of examples related to the LMDP and the NEEM Programme where the results had been various improvements including people being more prepared to listen and consider what other people are saying, rather than dominate the group.

At a senior level there was a clear understanding of the value gained from learning and development activities. The overall performance is monitored and evaluated as part of an on-going process during senior management meetings and at individual team level. This is also supported by more detailed reporting such as CPA audit reports, performance management reports and working with accreditations such as the QUEST standard plus other customer surveys etc.

# 3.    DEVELOPMENT AREAS

## LEADERSHIP and MANAGEMENT STRATEGY

### Development Point 1

Whilst the majority of managers referred to the Competency Framework, a small number of managers appeared to give their own opinions of what was expected of them as managers. Therefore there may be some value in revisiting the Competency Framework during management appraisals and review to further strengthen this understanding so this could more specifically define the capabilities required of the "Hartlepool Manager". Plus linked to this these capabilities should be clearly communicated to managers and from managers to their staff (Indicators 4.2 and 4.3) and which would also link to indicators 5.1 and 5.3.

### Development Point 1 (Continued Development Point)

To consider integrating these into the documentation and process for recruitment, selection, management development and to the review criteria used within manager appraisals etc. This would also support the organisation's approach to succession planning. performance reviews and as contained in the requirements in the Investors in People Standard at Levels 2 and 3 Evidence Requirements 1, 2 and 3.

## PERFORMANCE MANAGEMENT STRATEGY

### Development Point 2

The SMT of Adult and Community Services in collaboration with the Corporate CMT (Linked to Indicator 2.1) to review ways of developing a more comprehensive approach to the cost/benefit analysis of <u>all</u> learning and development activities including the overall investment of time as well as money and resources. Develop more clear and accurate "descriptors" for learning and development activities could help to specify how the impact of learning and development will be evaluated at the Adult and Community Services team level (Indicator 2.2) and also at the HBC corporate level (Indicator 2.1).

# CHIEF EXECUTIVES

## 1. FINDINGS AGAINST THE STANDARD

**DEVELOPING STRATEGIES TO IMPROVE THE PERFORMANCE OF THE ORGANISATION**
*An Investor in People develops effective strategies to improve the performance of the organisation.*

1. Theme - **BUSINESS STRATEGY** - A strategy for improving the performance of the organisation is clearly defined and understood.

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1. Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance
2. Top managers ensure the organisation has a business plan with measurable performance objectives
3. Top managers make sure there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisations business plan
4. Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives
5. People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan
6. People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them

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Senior managers explained that they had worked in conjunction with the Local Strategic Partnership in order to determine the vision of Hartlepool Borough Council (HBC) which was to:
'Build a better future for Hartlepool'

This Partnership included working with for example the;
- Voluntary sector
- Health Service
- Police
- Housing Hartlepool
- Elected Members

They also explained how they aimed to achieve this vision through, for example:
- Raising the level of employment in the area
- Providing high level health and care
- Making Hartlepool safer
- Raising the level of education – building schools for the future
- Improving tourism
- Increasing population and wealth
- Strengthening communities

*"We are working in joint partnership with other services in the community to identify priorities and secure funding for Tees Valley."*
*"We aim to set up Community Groups across all 17 Wards to listen to what the public want and develop Neighbourhood Action Plans."*

This vision had been communicated through an overarching Community Strategy and Council Plan, which sets out the key priorities and goals for the Council.

Every service area within the Council held the responsibility to prepare a Service Improvement Plan to clearly outline the key priorities, performance targets and timescales, complete with appropriate actions.

Senior managers described how people at all levels had been given the opportunity to contribute to the Service Improvement Planning process. Various meetings or briefing sessions had taken place in order to fully explain the direction of the Council and the requirements of each individual department.

Representative groups had been included in this planning process either within their own Service areas or through official channels such as Joint CNT quarterly liaison meetings.

Managers described how they involved people at various stages when developing the Service Improvement Plan and when agreeing team and individual objectives. One manager explained that by considering the requirements as set out in the Service Plan, they had held both team meetings and one to one meetings with their team to consider how their individual areas of work related to the broader objectives and how they were able to contribute to achieving them.

*"Appropriate actions are determined and targets set in place in order to monitor progress."*

People were able to articulate their understanding of what the Council was aiming to achieve and they were to contribute to achieving them. Examples included:
- Adhere to all National Performance Indicators
- Provide a high level of support across the Council by ensuring all policies are fully understood and utilised
- Provide a high level of service to the public by ensuring housing benefits are paid promptly and accurately
- Write and communicate the Corporate Plan
- Work towards becoming training centre for Revenues and generate income
- Maintain high standards and constantly monitor customer satisfaction levels


2. Theme - **LEARNING AND DEVELOPMENT** - Learning and development is planned to achieve the organisation's objectives.

1. Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.
2. Managers can explain team learning and development needs, the activities planned to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.
3. People can explain how they are involved in identifying their learning and development needs and the activities planned to meet them.
4. People can explain what their learning and development activities should achieve for them, their team and the organisation.

Senior managers explained that in order to achieve their vision, they needed to be assured that people were able to use and develop their skills, both now and in the future. Technical, legislative requirements and management development were all considered by senior managers as priority areas. Individual learning and development needs were identified through various channels and these included:
- Performance Appraisal
- Training reviews
- Supervisory interviews
- One to one discussions
- Changes to legislation

They further explained that as there was a high level of technical expertise within the Council, they were able to maintain high standards by cascading knowledge and developing people in house. When the situation called for a higher level of technical training, external expertise was researched and made available. This was also the case in relation to legislative changes which were usually made available, for example via National Conferences or e-learning.

A strong commitment to developing current managers, and potential managers for the future had been made, and senior managers explained how they were addressing this by providing on-going Management Development training in house.

All identified learning and development needs were linked to current business objectives, and the development potential of the individual. This had always been the case, however the recently revised Appraisal process enabled managers to make a clearer link to objectives and to determine timescale priorities for delivery. A Competency Framework was also included within the Performance Appraisal Policy and by using a rating system between levels 1 – 5, people were able to discuss the level of their performance and identify areas for improvement which enabled appropriate training to be identified.

This process also provided managers with the opportunity to consider the related costs, what the individual would hope to gain from the activity and how the impact of learning would be evaluated.

All learning and development requests were captured centrally and arranged either by Work-Force Development or HR. As there was such a strong commitment to peoples learning and development, many other opportunities were taken to provide people with additional skills and these included:
- One to one coaching
- e-learning
- mentoring
- NVQ
- ITQ
- Observations and shadowing

Senior managers also looked to monitor their return on investment by incorporating systems to track progress on target achievement and business improvement. Various other methods were used to evaluate progress following learning and development activities including:
- End of course and follow up questionnaires
- One to one discussion with managers to explore what the individual gained from the training
- Mystery shopping to monitor customer satisfaction
- Supervisions

At team level, managers and supervisors were responsible for ensuring that peoples learning and development needs were identified and addressed.

Several managers explained that they had a broad range of experience and responsibilities within their teams, therefore many different learning and development needs. For example, one manager explained that 2 officers within her team were both very experienced, although one in relation to technical ability, the other in terms of people management skills. The North East Excellence Manager (NEEM) had been used to develop people management skills and shadowing to develop technical expertise.

Another manager explained that system changes had resulted in all team members requiring technical training, however as some had been involved with performance testing, their needs were quite different. Both formal training and coaching had been used to ensure everyone was fully equipped with the desired level of knowledge.

People confirmed that they were involved in identifying their own development needs through the appraisal process, in team meetings, one - one supervisions and on an ad-hoc basis if necessary

*"There's never any shortage of training, but it's always considered first."*
*"WorkForce Development sends out regular information about training so we always know what's coming up."*

One member of staff explained that she hadn't really needed any training to do her job, and wasn't really interested in developing herself further as she had never enjoyed studying. However, she had noticed how many of her colleagues were gaining qualifications through NVQ, s and how easy they had found it.
*"It's infectious. You see someone else doing it and you want to join in. I've now gained 2 qualifications."*

Another member of staff explained that they were able to be selective about which course they needed to attend and only did so when they were sure there was something to be gained, both for him and the department.

*"It's always useful to find out what other Authorities are doing. It helps to improve knowledge, embrace change and network within the area."*

*"We are scheduled to attend a Performance Management workshop in the near future. It will be very useful for all of us, but also useful for the department as we will be able to share our learning and improve how we record and provide performance information."*

During interviews, it was evident that people had a very clear understanding of how learning and development could improve their own performance, their team success and the overall performance of the Department and examples included:

- Learning from colleagues to maintain a quality service
- Making sure own knowledge of legislation, CRB Processes & eligibility criteria is up to date
- Improved awareness of risks and how to deal with them
- Provision of first class customer service
- Provide effective leadership
- Improved knowledge of other internal services & areas of expertise such as Finance & ICT

3. Theme - **PEOPLE MANAGEMENT STRATEGY** - Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.

1. Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance.
2. Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.
3. Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.
4. People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance.
5. People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance.

Senior managers described the strategies that were in place to promote an equality of opportunity in terms of personal development. Many opportunities had been provided to create an environment where people had been encouraged to contribute ideas such as:

- Consultation when developing the Service Improvement Plan during briefing sessions and team meetings
- Steering groups
- Team meetings
- Planning away days
- Quarterly Director briefing sessions
- Bi-annual SMT meetings

During an interview with one of the senior managers they explained that as HBC had a very diverse workforce, the needs of different people had been considered. Various approaches to learning provision had been taken with a view of making learning more effective.  A range of approaches were described and included:

- Considering appropriate learning styles in order to make learning effective
- Providing a range of dates for people to attend mandatory training
- E-learning
- Provision of basic / essential skills
- Discussion groups
- Ensuring managers were fully aware of their responsibilities in relation to providing post training support

One manager explained how she had been able to determine that people learn in different ways i.e. visual, auditory kinaesthetic. Another manager explained how she believed her staff to be highly creative, therefore would respond to a more innovative approach to learning. A further example provided by a manager included making arrangements for staff to work from home if it suited them, especially in terms of assessing documents or e-learning.

Many comments were made to provide evidence of people believing that managers were genuinely committed to ensuring that everyone had appropriate and fair access to support.

These included:

*"She never just issues instructions or minutes from a meeting I may have missed without explaining things to me."*

*"He sometimes asks me to step in and cover so that I can gain a more rounded understanding of the role of our team."*

*"I work part time so it can sometimes be difficult to attend courses on the days they are running. My manager is very flexible and is quite happy for me to change working days."*

*"My Manager always gives me a call or drops me an e-mail to make sure that I'm up to date with everything"*

Examples were also provided of people being encouraged to contribute ideas to improve performance through:

- Team meetings
- Discussions around project management
- Discussions around purchasing new software
- Steering groups such as the Equality and Diversity Group
- Away days
- One to one discussion with manager to discuss how we can develop and implement new initiatives

4. Theme - **LEADERSHIP AND MANAGEMENT STRATEGY** - The capabilities managers lead to lead, manage and develop people effectively are clearly defined and understood.

> 1. Top managers can describe the knowledge, skills and behaviours that managers need to lead, manage and develop people effectively, and plans they have in place to make sure managers have these capabilities.
> 2. Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.
> 3. People can describe what their manager should be doing to lead, manage and develop them effectively.

Senior managers explained that the decision had been taken at corporate level to set up a Guardian Group with the view to produce a competency framework to describe the knowledge, skills and behaviours for all staff. This framework clearly outlines the capabilities expected of all managers at various levels. They also explained that the framework was included within the Performance Appraisal process and an overview of the framework was included in briefing sessions earlier in the year.

As previously mentioned in this report, management development was considered to be a priority, and a wide range of developmental opportunities had been developed. These included NEEM (primarily focussing on behaviours) and LMDP (focussing more on knowledge and skills).

The majority of managers were able to describe these capabilities, however there was a degree of inconsistency across departments, with managers giving different opinions of what was expected of them. As the Appraisal process was not complete in all areas at the time of assessment, further clarity could be provided over coming months. **(Development Point 1)**

The managers interviewed appeared to have a wide and varied range of management experience and had attended modules within the Leadership and Management programme in order to enhance their skills and attributes. The program had been well received by these managers.

*"I really enjoyed the training and found most of it very useful"*
*"I've witnessed a big increase n confidence"*

People were clear about what they could expect from their managers, however in the majority of interviews gave their own opinions with very few referring to the Competency Framework. **(Development Point 2)**

Examples included:

- Emotional knowledge
- Encourage free and frank discussion
- Accessibility
- Encouraging
- Aware of legislation
- Providing guidance and direction
- Offering technical help
- Being flexible
- Motivating and developing you
- Being there for you
- Knowledge of the job
- Listening
- Approachable
- Giving you information

## TAKING ACTION TO IMPROVE THE PERFORMANCE OF THE ORGANISATION
**An Investor in People takes effective action to improve the performance of the organisation through its people.**

5. Theme - **MANAGEMENT EFFECTIVENESS** - Managers are effective in leading, managing and developing people.

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| 1. Managers can explain how they are effective in leading, managing and developing people.<br>2. Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate.<br>3. People can explain how their managers are effective in leading, managing and developing them.<br>4. People can give examples of how they receive constructive feedback on their performance regularly and when appropriate. |

Managers were able to provide examples of how they were effective in leading, managing and developing people. For example, a manager explained that she had always tried to offer people the chance to come and talk to her on a one to one basis, as well as during team meetings. She further explained that she had taken time to get to know her staff and realised certain people were more likely to speak up in private, rather than in front of everyone else. Another manager explained how they were very aware that people had a lot of demand place upon them, therefore he had always made a point of assessing their individual workload before assigning additional duties.
**(Development Point 3)**

Performance appraisals were mentioned by a number of managers as the formal mechanism for providing people with feedback on performance, however many examples were provided of how managers considered this to be an on-going process and not just an annual event. For example, one manager explained that she had made a point of e-mailing an outreach member of her team to pass on her thanks for doing a good job.

*"I considered it important to not only phone to pass on my thanks, but to also document why I was so pleased with the work. This was something which may be kept and included within job applications in the future."*
**(Development Point 4)**

Another manager explained that they had made a point of giving individual & team feedback & praise following a successful CPA Audit.

Numerous examples were given to confirm that people felt their managers were effective. One team member described how he believed his manager to be effective as he made a point of sharing the workload fairly, even it involved taking on some unfamiliar tasks in the short term. *"He can tell when the pressure is on and makes a point of checking if we are coping with demands. We work really well together"*

Another member of staff considered his manager to be effective as he had asked the team on several occasions to look through proposals and to consider the implications for the team.

*"Its important our views are considered as we will be responsible for the work. He respects our expertise."*
*"She has fully supported me when I've needed it"*
*"He is very good, very supportive and always asking if we can do anything better"*
*"She's a good manager, perfect for me"*
*"He's the best manager I've had in 30 years of local government"*


6. Theme - **RECOGNITION AND REWARD** - People's contribution to the organisation is recognised and valued.

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| 1. Managers can give examples of how they recognise and value people's individual contribution to the organisation. |
| 2. People can describe how they contribute to the organisation and believe they make a positive difference to its performance. |
| 3. People can describe how their contribution to the organisation is recognised and valued. |

Managers provided a range of examples to show how they recognised and valued people's individual contributions to the organisation. For example through:

- Thanks for a job well done
- Giving credit where its due and not taking the thanks personally when a team member actually did the work
- Making senior managers aware of individual contribution
- Nominations for awards
- Forwarding personal letters of thanks
- Mention in team meeting
- Thanks and recognition for completing projects ahead of time
- Making people aware of exam successes through Newsletters
- Asking people to share their mistakes with a positive view of helping everyone to learn from them

Throughout the interviews people described how they believed they were making a positive difference to the performance of the business with specific examples given such as:

- Making sure benefits are paid on time therefore improving peoples lives
- Improving systems and procedures to make staff more efficient in the long term
- Spending time researching the most appropriate training providers

- Developing managers for the future
- Welcoming tourists who may return to the area in the future
- Involving the community in discussions which affect their town

*"The awards are a great idea, they make you feel important & it's great to see everyone mixing together"*
*"We received a big Thank You from our Head following the CPA Audit"*

People described how they felt their contribution was recognised and valued by the Service.

*"I've had many opportunities to develop within my career."*
*"I feel trusted to organise my own workload because my manager knows I'm capable of doing so."*
*"The awards are a great idea, they make you feel important & it's great to see everyone mixing together"*
*"I started work here many years ago in a junior position and am now at a senior level. I must be doing something right."*

## 7. Theme - INVOLVEMENT AND EMPOWERMENT - People are encouraged to take ownership and responsibility by being involved in decision making.

> 1. Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist.
> 2. People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role.
> 3. People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level appropriate to their role.

Managers described how they promoted a sense of ownership and responsibility by encouraging people to be involved in decision making.

One manager explained that she had assigned a project to individuals within her team in order to complete a process mapping exercise to examine how a process could be more streamlined and effective.

Another manager explained that every member of her team was trained to a level which empowered them to make their own decisions in an area which was very diverse and challenging. She further explained that on the occasions when decisions needed to be taken on areas affecting the entire team, people's opinions were encouraged, and considered before any final decision was taken. Other examples included:
- Acting up at a higher grade to cover for line management absences
- Involvement as a team lead for Process Mapping/Business Process Re-Engineering
- Project Leadership for Key lines of Enquiry (LOE) process

Single Status and Job Evaluation had provided an opportunity for a manager to really involve their team in relation to how best to manage a very high workload. This had resulted in 3 groups being set up to take ownership of certain requirements and to ensure all deadlines were met.

People were able to describe how they had been encouraged to be involved when decisions affecting everyone needed to be taken. For example, one member of staff explained how she had noticed that the nature of claims was changing to include more foreign applicants.

Following this observation, and discussions with managers, the decision was taken to enhance the knowledge of her team by attending a specialist course with a view to making sure the correct guidelines were in place and fully understood by everyone.

People could clearly describe how they were encouraged to take ownership and responsibility for decisions that affected the performance of individuals, teams and the organisation, appropriate to their role. Examples include:

- Organising my schedule to suit me & my colleagues
- Making the best use of the resources we have
- Improving  admin procedures which will benefit everyone
- Move deadlines for projects to ensure completed on time

## 8. Theme - **LEARNING AND DEVELOPMENT** - People learn and develop effectively.

> 1. Managers can describe how they make sure that people's learning and development needs are met.
> 2. People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role.
> 3. People who are new to the organisation, and those new to a role, can describe how their induction has enabled them to perform effectively.

Managers provided evidence to confirm how they ensured peoples learning and development needs were met, either as a result of Appraisals or as the need had arisen. For example, one manager explained that, following discussions, a team member had realised that she needed a more comprehensive understanding of financial budget statement. This was addressed by exploring what training was available and with the support of the Work Force Development team, a suitable course was selected. Another manager explained that there was a comprehensive catalogue of courses on offer within the Council, however from time to time training co-ordinators e-mailed circulars to team leaders if they thought it may be of interest. A decision had then been taken and appropriate, training arranged.

People were able to give many examples of how their learning needs have been met. Examples included:

- Health & Safety –improved awareness
- Manual Handling – self protection
- Disability awareness – considering others
- External qualifications – personal development
- NVQ – focus on all aspects of role
- Food hygiene – providing healthier food with less risk of food poisoning and safer storage of food
- JCB – using machinery safely
- First Aid – assisting people
- COSHH – reducing risks of accidents and safe use of chemicals
- Modern Apprenticeships – developing skills and trades
- Chain Saw – correct use of equipment, aware of risks
- Member Development Programme – raised awareness of responsibilities
- Management Development – gaining new skills and a more rounded understanding of the role requirements – via formal qualifications such as CMS/DMS and modular provision via NEEM/LMDP
- External qualifications – personal development
- Equality and Diversity – knowledge of how to relate to people

People relatively new to the organisation were able to confirm that they had received an effective induction. This included training such as:

- Health & safety
- Terms and conditions
- Meet and greet with key personnel
- Role specific training

People moving into new roles held the view that their induction had been effective as it had included an overview of the role, on the job training, and where necessary a more in depth technical training course

*"I've received excellent support from my line-managers & the Senior Managers. They've been fantastic. I've also had help from the Portfolio Holder in the Cabinet"*

## EVALUATING THE IMPACT ON THE PERFORMANCE OF THE ORGANISATION
*An Investors in People can demonstrate*

9.    Theme - **PERFORMANCE MANAGEMENT** - Investment in people improves the performance of the organisation.

1. Top managers can describe the overall investment of time, money and resources in learning and development.
2. Top managers can explain and quantify, where appropriate, how learning and development has improved the performance of the organisation.
3. Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation.
4. Managers can give examples of how learning and development has improved the performance of their team and the organisation.
5. People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation.

Senior managers explained that there was a training budget allocated to each Service, and this was monitored closely, both at Service level and corporate level. Additional funding had also been used to full advantage to further add to the financial commitment to learning and development. They further explained that as the revised Appraisal process included a training review procedure, they were able to monitor training progress and establish how much activity had actually taken place and identify any gaps between approved training and actual delivery. This also enabled training time to be accurately monitored.
**(Development Point 5)**

Training delivery was provided by using a range of providers and these included:
- HR
- Workforce Development
- External consultants
- Technical in-house experts

Senior managers were able to provide clear evidence of how they believed learning and development had improved the performance of the Service. At an organisational level, the 2007 CPA inspection result confirmed that HBC was improving strongly and demonstrating a 4 star overall performance. Other measures sited as evidence of continuous improvement included:
- Maintaining a high standard of customer service
- Increased levels of recycling

- Increase in the number of professional qualifications gained
- Improvement in management team with more involvement in business planning procedures
- Improved retention of staff
- Improved consultation with people taking ownership of projects
- Managers being more creative in their thinking and not afraid to take risks

Effective evaluation had also enabled the Service to examine certain practices with a view to inform future strategy. For example, one senior manager explained that the amount of information shared during briefing sessions for managers was considered to be too strategic therefore the decision had been taken to reduce the agenda. This consequently allowed more time for question and answer sessions, therefore proven to be more valuable. Focus on current issues and interactive group sessions had added further value to these sessions.

Senior managers also explained the Business Transformation Programme had also recently been implemented in a number of areas and included a process mapping tool (Business Process Re-engineering) which had been used to examine procedures and highlight areas for improvement to services.

As performance monitoring was vital to the continued success of HBC, senior managers had also taken the decision to improve how data is captured and reported. Following consultation with staff and providers, a system was purchased and at the time of assessment had been 'live' for one quarter. The Covalant System now linked performance indicators to the Service Planning Framework and provided functionality to produce reports very quickly and highlight potential risk areas.

*"The previous in house system was at risk of falling over, and there was limited internal expertise. We now have super users across departments trained in using the system."*

Managers at all levels were able to provide examples to show how the performance of the organisation had improved as a result of learning and development.

- Improved confidence of front line staff, especially when dealing with difficult situations
- Seeing staff 'grow' and more prepared to take on higher levels of responsibility
- Managers now having a more rounded understanding and ability to fulfil the requirements of their role, therefore allowing senior managers to concentrate on strategic issues and development
- More robust procedure for project development
- Achievement of AI/VI qualifications therefore generating revenue internally
- Improved knowledge of equality and diversity therefore now able to improve services and relate to the broader community

People also provided numerous examples of how learning and development had improved their individual performance, their team's performance and ultimately the performance of the department:

- Improved presentation skills, therefore more confident when communicating information
- Improved technical knowledge of systems resulting in a more efficient service
- Ability to complete increased volumes of work with fewer errors
- Improved customer satisfaction following customer care training

- Fewer complaints and smaller backlogs of work
- Less fire fighting and more planning ahead

10. Theme - **CONTINUOUS IMPROVEMENT** - Improvements are continually made to the way people are managed and developed.

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| 1. Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people.<br>2. Managers can give examples of improvements they have made to the way they manage and develop people.<br>3. People can give examples of improvements that have been made to the way the organisation manages and develops its people. |

Senior managers explained that following evaluation of people's talents, through for example Appraisals or observations, they had empowered people to get involved with projects within the community. For example, one senior manager explained that a member of staff had been contacted by a Maritime Captain with a view to get involved in planning a festival. Another member of staff had become involved in a number of theme groups working with primary school children.

*"People are recognised for their talent and are encouraged to use it."*
*"The LMDP has supported us in bringing about a culture change and by creating a model of what we expect our managers to be."*

Managers were able to provide examples of improvements they hade made to the way they manage and develop people including;

- Introduction of an Employee Recognition Scheme
- Introducing plans to accredit in house training such as Management Development
- In house NVQ verification
- Improved understanding of people's differences as a result of Psychology courses
- Mixed groups in training courses
- Steering groups identified to look at audit results and identify areas for future developments

*"I undertook the Excellent Manager Programme – it helped me to reflect on what I had done in the past and identify what I can do – The 360 degree feedbacks were very powerful in giving a snapshot of the person you are as well as what others think of you."*

*"My team are very good at job analysis but it has been identified that we need to look at development options and encourage them to be more performance management oriented and they are now undertaking training in this area."*

A wide range of examples were also provided of how improvements had been made to the way people were managed and developed including;
- Being encouraged to take ownership of issues and decisions
- More inclusion when developing procedures
- Development of management skills
- Being encouraged to apply for promotion
- Being approached to take on new roles
- Cross team working
- Being encouraged to work towards recognised qualifications
- Being allowed to run departments without the need for constant

# 2.    KEY STRENGTHS

## COMMUNICATION

During interviews, people explained how they had been kept fully informed of development within their own teams and across the Department. In addition, steps had been taken to 'filter out' unnecessary information therefore making briefings and updates more useful.

## COMMITMENT

People at every level demonstrated a determination to succeed with a 'can do' attitude.

## MANAGEMENT SUPPORT

Many people referred to the high level of support they received from their immediate managers and from those in a more senior position. This support had been provided on a day to day basis in terms of role requirements and also in terms of development.

## STAFF INVOLVEMENT

During almost all of the interviews people at every level were able to give examples of how they were involved in decision making and planning. There was a feeling generally that everyone 'had a voice' and that they were given the opportunity to air their views during the many forums which had been available.

## LEADERSHIP AND MANAGEMENT DEVELOPMENT

A huge investment in terms of providing managers with the capabilities they need in order to lead, manage and develop people effectively.

## PEOPLE DEVELOPMENT

Many example's of how people had been encouraged to develop within their careers, complete with all the necessary support. This had been in terms of manager/ mentor support and identification of the most appropriate level of training.

# 3. DEVELOPMENT AREAS

### Development Area 1 -    Leadership and Management Strategy

Whilst the majority of managers referred to the Competency Framework, a small number of managers appeared to give their own opinions of what was expected of them as managers. Therefore there may be some value in revisiting the Competency Framework during management appraisals with a view to further strengthen this understanding.

### Development Area 2 -    Leadership and Management Strategy

Linked to Development Area 1, a number of people could only offer their own opinions of what they would expect from their managers and were unable to recall ever having a conversation which outlined 'two way' expectations. The Department may therefore wish to incorporate this good practice to any future Appraiser training.

### Development Area 3 -    Management Effectiveness Strategy

Linked to DA1, managers were able to provide examples of how they believed they were being effective. As there were a number of different views from managers about what the key competencies were, further clarification would also be beneficial in terms of developing areas which were not as proficient as others

### Development Area 4 -    Management Effectiveness Strategy

The recently revised Appraisal process was considered to be an improvement and appeared to be working extremely well in most areas. However, interviews confirmed that not all managers had been able to conduct Appraisals, or had been able to attend the briefing sessions. Therefore an audit of outstanding Appraisals complete with a schedule for completion would further add to the success of this revised process and ensure consistency across HBC.

### Development Area 5 -    Performance Measurement Strategy

Many measures were in place in order to monitor return on investment. Whilst cost, time and resources had been considered, certain learning and development activities had not been included, such as coaching, mentoring etc. This had been acknowledged prior to the assessment taking place and was already being considered for the future. By completing this process, the Service would gain a more comprehensive account of their full investment in people development.

# CHILDRENS SERVICES

**DEVELOPING STRATEGIES TO IMPROVE THE PERFORMANCE OF THE ORGANISATION**
An Investor in People develops effective strategies to improve the performance of the organisation through its people.

1. Theme - **BUSINESS STRATEGY** - A strategy for improving the performance of the organisation is clearly defined and understood.

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| 1. | Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance. |
| 2. | Top managers ensure the organisation has a business plan with measurable performance objectives. |
| 3. | Top managers make sure the organisations there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisation's business plan. |
| 4. | Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives. |
| 5. | People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan. |
| 6. | People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them. |

The top manager interviewed explained how she worked as part of the Corporate Management Team (CMT) to develop and reinforce the Hartlepool Borough Council purpose and vision and in implementing the strategy for improving performance.

*"When I was first appointed as Director I visited all the teams and I am now starting to do this again."*

The Children's Service Directorate has a clear Purpose and Vision built around the "5 Pillars" of "Every Child Matters." The Children and Young Person's Plan provides the operational framework of performance objectives for the delivery of this Vision and everyone was able to identify how their individual, service and team objectives particularly where connected to the 5 "Every Child Matters" outcomes.

*"We get all front-line people involved in the planning process."*
*"We are using a Diamond 9 exercise which involves our key stakeholders and partners and are using Staff Briefings for this."*

Senior managers explained how clear connections were made to the Hartlepool Borough Council's corporate level visions, plans and priorities through the "Golden Thread" and updates were given through Staff Briefings etc.

*"The staff briefings really work well for the core stuff."*

They described that there were also key core processes and systems in place which were working effectively including the Leadership and Management Development Programme (LMDP), the Workforce Development Strategy (Be the difference "Creating tomorrow's workforce today), the Corporate Employee Development and Performance Appraisal Policy and Appraisal Scheme (The new Appraisal Scheme) plus the Corporate Induction process etc.

Examples of comments received:
*"We use IiP as a planning tool."*
*"We have a Golden Thread that runs through planning to delivery."*
*"We use a traffic light system to monitor performance."*

*"We have the Covalent System which helps us with planning."*
*"I have targets to reduce absence in schools."*
*"We asked our clients what they would like to receive from us – this means we have needs driven objectives."*
*"We consult with the public and I have a say in which objectives are set."*
*"We have team away-days and development days."*

The comprehensive 3-stage strategic planning process was described as underpinning the achievement of the key elements of this Indicator and this process had resulted in the "department level" Children's and Young People's Plan which was underpinned by a range of "service level" plans. Senior managers explained that this plan was developed using a range of analytical and consultative activities as well as from feedback from a range of surveys including those involving children, families, staff and partner organisations. The Plan contains a large number of Achievements, Challenges, Objectives and Strategies together with Key Targets of which the large majority were clearly measurable in SMART terms.

Senior managers described how the activities associated with and connecting to key corporate level visions, plans, priorities, processes and systems was having a fundamental effect on the overall performance review and appraisal processes in the Department. The new Appraisal Scheme was still in the stages of full implementation and we were therefore asked to review and feedback on how well this implementation was being received by those involved.
**(Development Point 1)**

Managers explained that there were regular team meetings as well as a range of supervision and one-to-one activities. People stated that were actively encouraged to express their opinions and needs, contribute ideas and make suggestions for change at these regular meetings with a clear linkage to meeting key performance indicators and core elements of the Every Child Matters outcomes.

Staff explained that some of the specific objectives of their team were legislatively driven. However, there was an opportunity through performance management, appraisals and regular meetings for teams to decide how targets are prioritised and how plans were delivered. At Service and other specific "team" levels staff clearly had significant input into the operational aspects of the plan and there was a clear understanding of the Performance Indicators for the team which came from the Children and Young People's Plan.

People described how they were consistently consulted on how to implement these indicators within the team. In many areas, key stake-holders such as children, parents and teachers had input into the planning process.

The Top manager interviewed explained that there was a more formal consultation with the Trades Unions at a corporate level but also explained that she also had regular meetings with Unison. If this Directorate level consultation was echoed within the rest of HBC then there is a clear indication that Indicators 1.3 and 1.5 would be met. The manager explained that this consultation was constructive and that it was focussed on a discussion of matters of common interest between the management team and the Union.

2. Theme - **LEARNING AND DEVELOPMENT** - Learning and development is planned to achieve the organisation's objectives.

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| 1. | Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these linked to the achieving specific objectives and how the impact will be evaluated. |
| 2. | Managers can explain team learning and development needs, the activities planned to meet them, how these link to the achieving specific team objectives and how the impact will be evaluated. |
| 3. | People can explain how they are involved in identifying their learning and development needs and the activities planned to meet them. |
| 4. | People can explain what their learning and development activities should achieve for them, their team and the organisation. |

The senior manager explained that the corporate level Workforce Development Strategy 2007-2012 described the key corporate level learning and development priorities and indicated overall Achievements together with the Current Position, What we need to achieve and How we are going to achieve this in relation to 4 Key areas together with Key priorities. The Hartlepool Learning Mission and the Hartlepool Learning Ladder were also included in this document. Strategic Workforce Planning at Hartlepool had been underpinned by the establishment of a strategic working group with key terms of reference and with representatives from all Departments and including 2 from Children's Services.

The Directorate has its own Workforce Development function and a dedicated budget for Learning & Development. Senior Managers were able to talk about the wide range of development needs demanded in the Directorate, from Higher Level Qualifications required by Teachers, Psychologists & Social Workers to practical on-the-job skills such as Word Processing & Monitoring. A wide range of delivery channels are used including internal programmes such as the LMDP and external suppliers where appropriate such as in the delivery of Degree level qualifications. External networks & conferences are also used to good effect.

Senior managers explained that the Children's and Young People's Plan identified the priority for Workforce Development and the development of a training plan for Children's Services to ensure equality of opportunity for all staff. Managers described how there was a clear message that activities would not only include formal training but also other approaches such as work shadowing, mentoring, group workshops and the sharing of learning and dissemination of conference materials etc.

They also explained how Managers were to be supported in a variety of ways and particularly through the corporate LMDP.

The current work in implementing and embedding the new Appraisal Scheme was described as the key driver to the ongoing development of the departmental workforce plan. In specific terms as the process for individual needs identification and the development of personal, team, service and organisation development plans.

Learning and Development Planning was particularly effective at the "service level" and managers were all able to explain the learning needs and key objectives for their own teams and how they used supervisions, appraisals and team meetings to develop, reinforce and review the objectives.

*"I have drawn up a development plan for all social working."*

A wide range of development programmes and interventions had been included in learning and development plans and made available through the Children's Services Guide to training including:

- A range of Basic Training Courses
- The Corporate Leadership and Management Development Programme and range of Modules
- CMS, DMS and Degree Courses
- A range of NVQ Accredited courses in Team Leadership, Management, Customer Care and Equality and Diversity etc.
- A range of E-Learning Modules
- Mentoring
- Health and Safety
- A range of Children's Service Modular Courses in ICS Practice
- A range of CPD related development for Professional Staff
- Attending programmes, external networking, conferences and seminars etc.

Learning and development planning centred on the specific needs for their type of people and were resourced from a range sources. Ongoing development was centred on in-house support using methods such as "shadowing".

People were able to explain what their learning & development activities should achieve for them, Children's Services and for HBC as a whole.

*"The LMDP is great – it's a rolling program so you can decide which parts are the most relevant to you."*
*"I've just completed a Mentoring qualification and I am going on to do a degree."*
*"I was able to discuss the best route with my manager. Initially they asked me to do the MA but I thought the Post Graduate Certificate was more relevant so I was allowed to do that instead."*
*"We need to have high level qualifications such as Masters in Business Admin' & Commissioning."*
*"We have lots of in house resources here – sometimes I just go and speak to colleagues to find things out."*

Senior managers explained that much of the planned top level evaluation activity for Children's Services was centred on the various external accreditation inspection frameworks and was linked to those at a corporate level such as the annual CPA Assessment and Ofsted the Joint Area Review (JAR) etc. The key criteria attached to these inspections were seen as a key element for evaluating organisational performance. There were also a range of high level targets related to Children's needs which underpinned many of the core high level objectives for the Department.

Managers and staff explained that identifying individual level training and development needs was a key aspect of the new Appraisal Scheme and that this was also supported by identification through regular supervisions and one-to-ones.

There were still a small number of people who had not had their appraisal and a very small minority had not had a good experience.

*"I've had a briefing but it has not happened yet and he has told me he will give me a further brief before it takes place."*
*"It was not a good experience – it was carried out by an interim manager who did not understand the process but my new manager has agreed to do it again*
**(Development Point 2)**

Where the new competency and capability framework had been integrated into the appraisal process this had not only successfully identified a range of development needs for discussion, but it had then supported the development of individual objectives within a personal development plan. The objectives which related more to personal and career development were also now being identified through the new appraisals. Everyone in teams was actively encouraged to contribute to developing the team objectives, particularly when linked to specific Performance Indicators.

Managers explained that criteria for the evaluation of many of the team level activities was identified at the service, team and individual planning stages and was aimed at bringing about a direct improvement in the performance of the teams and of individuals working with specific service users and partners.

The impact of development is measured through the Appraisal Process, through discussion and through supervisions and through one-to-ones.

Other evaluation methods and activities were described and contained in the Children's Services Workforce Development "Manager's Guide to Evaluating Learning and Development" which was built around the Kirkpatrick 4-Level Evaluation Model and also via the use of mechanisms such as pre and post learning evaluation forms, discussion and monitoring of key performance indicators. The Kirkpatrick Model was described as covering activities at:

1. Reaction: how the individual felt about the activity (rating the training content, delivery, materials and pace)
2. Learning: increasing knowledge (what people had learnt)
3. Behaviour: extent of applied learning back on the job (what would people do differently)
4. Results: effect on the business or the environment

*"We measure it at a team level and at individual levels via supervisions and appraisals."*
*"You can look at the next level and see what you need to do in order to develop."*
*"The corporate training is free so one of goes to everything."*
*"We measure staff retention as an indicator of whether people are being given the right kind of development."*
*"We have used an Action Learning Set and evaluated it."*
*"We use mystery shoppers."*
*"We use the Common Assessment Framework (CAF) to plan, review and evaluate on a range of key criteria and we have a number of people trained up in this."*

Everyone interviewed confirmed they had a clear understanding of why they had undertaken particular learning and development and how this would benefit themselves, their team and Children's Services and HBC as a whole, particularly when linked to the Every Child Matters outcomes.

3.  Theme - **PEOPLE MANAGEMENT STRATEGY** - Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.

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| 1. | Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance. |
| 2. | Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance. |
| 3. | Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance. |
| 4. | People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance. |
| 5. | People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance. |

Children's Services has clearly developed a culture to support this Indicator very closely linked to the corporate Workforce Development Strategy as well more specifically to the Children's and Young People's Plan designed to ensure equality of opportunity for all staff.

*"There is non-ring fenced finance in the pool to ensure equality of access."*

The open communications approach and the strategy of service and team meetings, supervisions, one-to-ones and appraisals, together with the active encouragement to everyone to put forward their contributions, goes a long way to meet the main requirement of this Indicator.

*"There is a real culture of learning here."*
*"We have a learning culture here where people learn from each other."*
*"Communications is up and down – all first name terms – an open door policy – they are really interested in what you do."*

Everyone mentioned the lack of "status" issues in the Department and in the Authority as a whole and staff quoted examples, for example, where they had shared training on first name terms with senior managers. A number of people also stated that they felt able to ask anyone at any level in the organisation for help and support and that they were still able to both give support and receive support in equal measure.

*"Staff are great you can ring anyone as they are always available."*

Managers described a range of strategies and activities which were used to ensure that everyone had equal access to support, development and training and on the whole, there was an equality of opportunity to develop and a number of examples of individuals who have been developed within their roles.

There were several examples provided of how the needs of part-time staff had been addressed through looking at innovative ways of ensuring they were kept up to date.

There were unlimited opportunities made available for staff to contribute ideas to improve their own and others performance through the team meetings, in regular one-to-one situations and supervisions. At service level and in specific teams there was a constant cross-flow of ideas, help and support.

Examples of comments received:

*"The LMDP is available to all."*
*"The Newsletter & briefings are very useful – especially if you have to miss a meeting for any reason."*
*"The e-mail briefings are good as I work part time and am not always there."*
*"The team away 1/2days are excellent for getting involved with planning & ideas."*

Team members explained that they shared knowledge and experience across the team and often outside of the Department.

4.  Theme - **LEADERSHIP AND MANAGEMENT STRATEGY** - The capabilities managers lead to lead, manage and develop people effectively are clearly defined and understood.

> 1.  Top managers can describe the knowledge, skills and behaviours that managers need to lead, manage and develop people effectively, and the plans they have in place to make sure managers have these capabilities.
> 2.  Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.
> 3.  People can describe what their manager should be doing to lead, manage and develop them effectively.

The senior managers interviewed were able to describe the management competencies required by managers. They explained that competency profiles for managers were built into the new Appraisal Scheme and associated Competency Framework and that the LMDP was the main tool used to deliver knowledge in this area supported by other methods such as external qualifications where appropriate.

There was a relatively consistent description given by managers interviewed of the required skills, knowledge and behaviours required by managers to lead, manage and develop people effectively. They were able to talk about what they thought they needed to lead, manage & develop people and people were also able to confirm this in general but consistent terms.
**(Development Point 3)**

The term "Hartlepool Manager" was regularly used by people and & managers alike, the distinctive behaviours & character being described as "Civic Pride, Caring, Knowledgeable and Approachable". They also described a range of ways that managers had been developed to become effective in these terms as well as recognising how the LMDP had supported this process further.

*"We have 'Hartlepool Managers' here."*
*"The LMDP works well – people think in management terms as well as managers. They don't just talk about lists of tasks."*
*"The LMDP provides you with enablers & ways of dealing with real issues. It's also helped with general knowledge of the Council through meeting other people on the workshops."*
*"I take appraisal very seriously – If you do then staff value that."*

As the new Appraisal Scheme has still to complete the process cycle fully there is still some work to be done to further enhance the ability to develop more specific definitions of the manager's capabilities (The "Hartlepool Manager"). This could also form the basis for future management level performance reviews and as contained in the requirements in the Investors in People Standard at Levels 2 and 3.
**(Development Point 4)**

The majority of people were able to describe the capabilities that they felt their managers needed to manage and lead them effectively and described how this was consistently demonstrated. This included regular supervisions, day-to-day coaching and support and keeping team members informed through team meetings, supervisions, one-to-ones and appraisals etc.

A range of these key capabilities identified were:
- Giving a clear direction/vision/clarity
- Leading the team
- Having good people skills/taking time and listening to problems
- Having good constructive feedback skills
- Managing change
- Dealing with budgetary issues/business skills
- Knowing about the organisation
- Knowing and valuing staff
- Having an open door, being approachable and available
- Being supportive and challenging
- Being objective and fair


## TAKING ACTION TO IMPROVE THE PERFORMANCE OF THE ORGANISATION
*An Investor in People takes effective action to improve the performance of the organisation through its people.*

5.   Theme - **MANAGEMENT EFFECTIVENESS** - Managers are effective in leading, managing and developing people.

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| 1. | Managers can explain how they are effective in leading, managing and developing people. |
| 2. | Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate. |
| 3. | People can explain how their managers are effective in leading, managing and developing them. |
| 4. | People can give examples of how they receive constructive feedback on their performance regularly and when appropriate. |

The current management approach was described by managers in the terms described under Indicator 4 and the link to this Indicator means that the communication of more clear management capabilities also links into this Indicator.
**(See Development Points 3 & 4).**

Managers gave examples or how they felt they were effective including:

*"I'm trying to manage the way I would like to be managed."*

People spoke very positively about the support they received from their manager. A very effective feedback culture appeared to have been developed throughout the organisation. This feedback was provided formally through regular appraisals, through supervisions or through one-to-ones and in some cases more informally, on a day to day basis, through having a clear open door policy and being involved in team activities and work projects etc.

The majority of people were very positive about their own manager's skills, abilities and attitudes. A minority did show some concern and frustration about levels and quality of communication and their manager's ability to conduct new style appraisals. One person interviewed explained an occasion where their manager had been required to give feedback about poor performance and how this was done in a supportive, constructive way.

One manager explained an occasion where they had used coaching skills in order to remove barriers to performance & increase a person's confidence.

*"I have a great Manager – plenty of knowledge & very approachable."*
*"I get regular feedback via one-to-ones & supervisions."*
*"I've done work shadowing with my Manager."*
*"The door is always open."*
*"She makes you feel at ease."*
*"You can go at any time and get information."*
*"My manager always looks to praise what I do."*
*"My manager tells me when I have done well and they are constructive when things go wrong in helping me to understand how to put it right."*

The approach to maintaining an open and accessible management style had developed a very positive and consultative communications environment despite facing challenging issues on Job Evaluation etc. The use of a range of consultative activities clearly supported the communication of the Department's progress against plans.

6. Theme - **RECOGNITION AND REWARD** - People's contribution to the organisation is recognised and valued.

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| 1. | Managers can give examples of how they recognise and value people's individual contribution to the organisation. |
| 2. | People can describe how they contribute to the organisation and believe they make a positive difference to its performance. |
| 3. | People can describe how their contribution to the organisation is recognised and valued. |

Managers were able to talk about how they use feedback and praise to recognise individual's contribution to the organisation. This was done through one-to-ones, supervisions, through appraisal and on an ad hoc basis to good effect. People were able to make good links between their own contributions and the HBC and Children's Services Visions and Plans.

The "Celebration of Success" awards and events were described by a range of people in very positive terms as being an effective way of recognising and valuing their contribution to both Children's Services and to HBC as a whole.

*"In the SMG we always start with 10 good things."*

All people interviewed had knowledge about the "5 Pillars of Every Child Matters" and how they contributed. Many people spoke of "The Golden Thread" that runs through planning and delivery. People were able to conform that Managers were proactive in recognising and using opportunities to give feedback and praise were appropriate.

*"I do feel very valued – I've even had e-mails saying 'Thank You' from our Directors."*
*"We have had Celebrations & Awards here where we can put names forward – we've even been given extra days Holidays."*
*"We always get a well-done & a thank you for a job well done."*
*"I always take the view that we should treat people as we would expect to be treated ourselves."*
*"She values my input on the project and also sent an e-mail."*

Everyone interviewed believed they made a significant contribution towards the overall performance of Children's Services and the achievement of personal and team objectives.

*"I am part of the team helping it to work well and to make the life of services users' quality of life better – I love my job and enjoy what I do."*
*"I love people and know when I make a difference to people's lives."*
*"We are passionate about what we do – we work across departments it is the Hartlepool Way."*
*"I like to think I have got a big impact on the team."*
*"Everyone has an allegiance to the town – there is something rather personal about it all."*

Job evaluation and capacity issues had also affected morale to a certain degree and the level at which a small number of people felt valued.

*"Apart from the results of the job evaluation, I feel valued."*

7. Theme - **INVOLVEMENT AND EMPOWERMENT** - People are encouraged to take ownership and responsibility by being involved in decision making.

1. Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist.
2. People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role.
3. People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level appropriate to their role

Managers described how, through their approach to staff management, they encouraged decision making in individuals and how they helped to develop a sense of responsibility, ownership and commitment on a day-to-day basis. This was linked to the staff's direct involvement with children and partners and when making day-to-day decisions in their work activities effecting the performance of individuals, the team and the organisation. This also had a direct connection to the consultative planning processes described earlier.

Managers explained how they encouraged people to make suggestions in a range of ways including during supervisions, one-to-ones, team meetings, appraisals and on an ongoing basis. All staff described how they were constantly and actively encouraged to contribute new ideas or ideas on improvements, either on an individual basis or through team meetings as appropriate. Within a number of teams there were many examples of managers delegating responsibility to staff to enable them to take ownership and responsibility at an appropriate level.

There was a significant amount of autonomy and empowerment across Children's Services and when asked all staff interviewed were able to identify a decision they had taken and how it had had an effect on both the team and on the organisation.

*"I was involved in the design of Parenting Orders."*
*"I always get asked if I have any ideas – just can't think of any at the moment."*
*"I've costed & suggested plans for a new mobile unit which is being considered at the moment."*
*"I made a suggestion for batch input of data into the ICS system. I had a previous admin' background so my manager encouraged me to take a lead on this area."*
*"I'm covering for colleagues at the moment – I'm busier but enjoying it. I'm getting lots of support from my boss."*

## 8. Theme - **LEARNING AND DEVELOPMENT** - People learn and develop effectively.

1. Managers can describe how they make sure that people's learning and development needs are met.
2. People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role
3. People who are new to the organisation, and those new to a role, can describe how their induction has enabled them to perform effectively.

All managers confirmed how they contributed to the identification of needs and described their role in supporting the development and implementation of learning and development plans. They provided a range of examples of training requirements that had been identified and satisfied in accordance with the needs of the team and the organisation.

Managers explained how they reviewed and evaluated people's learning needs via formal evaluation methods such as post-learning evaluation forms and discussion. The appraisal system was the main mechanism by which people's learning needs were identified. However, this is also supported by rolling programmes such as the LMDP and the provision of "pick and mix" type activity from both internal sources and external suppliers and networks.

Everyone interviewed confirmed a clear understanding of the requirement for their recent training or development activity and more importantly had a clear understanding of this would assist them in their job, the contribution towards the success of their team and, where appropriate, how this could impact upon Children's Services and HBC as a whole.

People were able to provide examples of how their learning needs had been met, what they had learned and how they had applied it to their role.

*"I've found the Budgets and Appraisal modules of the LMDP very useful."*
*"The Finance Officers meetings are good – I've learned a lot from that too."*
*"The post graduate certificate has helped me a lot – it made me realise that I needed to improve my listening skills."*

The newer staff and those who had recently changed jobs confirmed that they had received a very effective and structured induction. The mix of the Corporate Induction with a more focussed local process appeared to work well with those interviewed.

*"When I joined there was a letter waiting for me with a full induction program mapped out – it was excellent."*
*"They offered me an Induction Plan when I changed roles but it wasn't needed as I'd been here for a while anyway."*

**EVALUATING THE IMPACT ON THE PERFORMANCE OF THE ORGANISATION**
*An Investor in People can demonstrate the impact of its investment in people on the performance of the organisation.*

9. Theme - **PERFORMANCE MANAGEMENT** - Investment in people improves the performance of the organisation.

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|---|---|
| 1. | Top managers can describe the overall investment of time, money and resources in learning and development. |
| 2. | Top managers can explain and quantify, where appropriate, how learning and development has improved the performance of the organisation |
| 3. | Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation. |
| 4. | Managers can give examples of how learning and development has improved the performance of their team and the organisation. |
| 5. | People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation. |

Senior managers explained that the learning and development activities contained within the Children's and Young People's Plan and also more specifically within different service areas identified the necessary financial resources required to meet many of the development needs identified. There was a clear understanding of development and training costs a specific budgets were managed to cover a mix of Corporate and Children's Service development provision.

Senior managers described how the Cost/Benefit analysis of learning and development activity was centred at the Head of Service level and at an overall level was within the remit of the Corporate Learning & Development Team. They were able to make links between evaluating their investment in people with their strategies for improving organisational performance.

They explained that top level evaluation activity was centred on the various external accreditation inspection frameworks linked to those at a corporate level such as the annual APA Assessment, ALI and CSCI inspections and Ofsted etc. Meeting the range of key criteria attached to these inspections was seen as a real measure of successful organisational performance. Achievement of other high level targets related to Education and Children's needs were also regarded as key evaluation indicators for the Department.

Managers interviewed had a good understanding of the Department's overall investment of money and resources in learning and development. The Organisation provided high levels of management information with respect to learning and development activities including costs and benefits identified via evaluation.

They described how, through review and evaluation, they had now been able to review and clarify the Children's Service overall learning and development provision and they felt that they were now better able to make decisions about approaches and priorities as well as looking at the most cost/effective ways of meeting identified needs.

*"We understand that the cost in time is high of the Open University course but it is essential and effective."*

Managers and people were able to give examples of how learning and development had improved individual, Children's Services team and HBC's performance.

Examples of comments received:

*"Doing the LMDP has helped me manage the team's performance and deal with issues"*

*"The LMDP has given me a lot of confidence – I feel more able to deal with people and conduct appraisals and supervisions"*
*"We did workshops in the USA and Canada in order to improve Local Area Consolidation"*
*"Devolving the Child Placements Budget to the team has given them ownership and some effective development in managing Finance"*
*"By mentoring one of my team with respect to knowledge of wider support networks, I've improved their confidence and willingness to take on new projects"*
*"As a result of a review we changed the job to suit the individual rather than change the individual."*
*"Through using CAF we have identified the key and stark needs and have now developed a parenting strategy."*

Examples of evaluation and how effective evaluation has been used to inform future planning:

The review of the new Appraisal Documentation by a mall Group Appraisal had resulted in *"A system which was seen as being far more honest and helping people to see where they stood."*

Some managers felt that evaluation was an area where they and their teams could improve.

*"We are a bit loose on that – we could do better."*
**(Development point 5)**

A number managers and people gave examples of how learning and development had improved their performance, the performance of Children's Services and HBC as a whole.

10. Theme - **CONTINUOUS IMPROVEMENT** - Improvements are continually made to the way people are managed and developed.

| | |
|---|---|
| 1. | Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people. |
| 2. | Managers can give examples of improvements they have made to the way they manage and develop people. |
| 3. | People can give examples of improvements that have been made to the way the organisation manages and develops its people. |

The feedback and attainment levels and improvements from the top level evaluation and "benchmarking" activity from external accreditation inspection frameworks proved clear evidence of improvements which have been fed into the strategy for managing people in the Department. As the evaluation systems and processes in HBC are enhanced then this will provide more feedback evidence to inform future development strategies.

Senior managers in Children's Services interviewed gave examples of how new processes and programs such as the LMDP and the new appraisal scheme had resulted in improvements to HBC's strategy and their approach for managing and developing people. These improvements to the organisation's strategy for managing and developing it's people had come about as a result of the cost benefit analysis and review of previous core systems and procedures and managers and people both confirmed examples of specific improvements made.

*"The structure of the new appraisal process has enabled us to initiate debate and discussions on key issues without getting hooked on the numbers."*
*"We are far more professional than we used to be."*

In addition, senior managers, managers and people interviewed thought that having a central corporate level training budget, together with an internal Workforce Development resource within Children's Services, had resulted in better quality assurance, administration and evaluation of people's management and development.

*"The Guardian Group overseas the need to constantly improve our processes."*
*"We took a conscious decision to move the training budgets to the central WDF Function. This has resulted in Equity of access & better quality."*
*"We've moved from the traditional 'care management' approach to a very definite "Enabling Model."*
*"The LMDP has had a big impact on our learning and development."*
*"It's the best appraisal system we've had so far."*
*"The old system was How do you feel? - the new one is How are you performing?"*

From this and from other feedback from partners and service users a range of internal audits, surveys and reviews have been developed at utilised to capture key issues for the Department which were being addressed. These approaches had proved to be much more effective in reviewing the whole organisation and key areas against how it manages its core objectives. Providing evidence for Indicator 10.1 will be much more comprehensive and more specific when the HBC CMT and the SMT of Children's Services had established a more comprehensive approach to the overall cost/benefit analysis of <u>all</u> learning and development initiatives at the overall HBC level as indicated in Development Point 5.

# 2. KEY STRENGTHS

## <u>VISION and VALUES</u>

Everyone was able to identify how their individual, service and team objectives particularly where connected to the elements of the Every Child Matters outcomes. There were also clear connections made to the Hartlepool Borough Council's corporate level visions, plans, priorities, processes and systems including the Work Force Development Strategy etc.

## <u>TEAM WORK, PARTNERSHIP and CUSTOMER CARE</u>

Strong team spirit exists across Children's Services. People work closely together and cascade new knowledge and skills across the Department and their teams. Good practice at team levels where innovative approaches to performance measurement had been developed. Excellent relationships with key stakeholders and partners and service users had been established and excellent customer care was being demonstrated in a range of contexts and situations.

## <u>LEARNING and DEVELOPMENT PLANNING</u>

Learning and Development Planning is particularly effective at Service level and key managers were all able to explain the learning needs and key objectives for their own teams and how they used supervisions, appraisals and team meetings to develop, reinforce and review the objectives.

## EQUALITY of OPPORTUNITY

Managers using a range of strategies and activities to ensure that everyone had equal access to support, development and training and a number of examples of individuals who have been developed within their roles.


## MANAGEMENT SUPPORT

Many people referred to the high level of support they received from their immediate managers and from those in a more senior position. This support had been provided on a day to day basis in terms of role requirements and also in terms of development.


## STAFF INVOLVEMENT

During almost all of the interviews people at every level were able to give examples of how they were involved in decision making and planning.


## LEADERSHIP AND MANAGEMENT DEVELOPMENT

A huge investment in terms of providing managers with the capabilities they need in order to lead, manage and develop people effectively.

## PEOPLE DEVELOPMENT

Many example of how people had been encouraged to develop within their jobs and careers. People confirmed that they had a clear understanding of the requirement for their recent training or development activity and more importantly had a clear understanding of this would assist them in their job, the contribution towards the success of their team and, where appropriate, how this could an impact upon Children's Services and HBC as a whole.


## EVALUATION of PERFORMANCE

Cost/Benefit analysis of learning and development activity was consistently effective at the service level where evaluation activity was often centred on the various external accreditation inspection frameworks linked to those at a corporate level. Meeting the range of key criteria attached to these inspections was seen as a real measure of successful organisational performance.

A number of managers were able to give a range of ways that they had made improvements to the way they managed and developed their people and people also gave a range of examples of improvements that have been made to the way HBC and Children's Services managed and developed its people.

# 3.  DEVELOPMENT AREAS

The main areas for improvement identified in the Findings are summarised below.

## APPRAISAL SCHEME and PROCESS

*Development Point 1*

As the new Appraisal Scheme was still in the stages of full implementation a full completion of the cycle and an evaluation of the process would enable improvements to be identified and integrated.

*Development Point 2*

Ensure that all appraisals are carried out as planned by fully capable managers to support the completion of the complete review cycle.

## LEADERSHIP and MANAGEMENT STRATEGY

*Development Point 3*

Whilst the majority of managers referred to the Competency Framework, a small number of managers appeared to give their own opinions of what was expected of them as managers. Therefore there may be some value in revisiting the Competency Framework during management appraisals and review to further strengthen this understanding so this could more specifically define the capabilities required of the "Hartlepool Manager". Plus linked to this these capabilities should be clearly communicated to managers and from managers to their staff (Indicators 4.2 and 4.3) and which would also link to indicators 5.1 and 5.3.

*Development Point 4 (Continuing Development Point)*

To consider integrating these into the documentation and process for recruitment, selection, management development and to the review criteria used within manager appraisals etc. This would also support the organisation's approach to succession planning. performance reviews and as contained in the requirements in the Investors in People Standard at Levels 2 and 3 Evidence Requirements 1, 2 and 3.

## PERFORMANCE MANAGEMENT STRATEGY

*Development Point 5*

The SMT of Children's Services in collaboration with the Corporate CMT (Linked to Indicator 2.1) to review ways of developing a more comprehensive approach to the cost/benefit analysis of <u>all</u> learning and development initiatives both when externally and internally initiated by identifying the overall investment of time and resources as well as money.

Develop more clear and accurate "descriptors" for learning and development activities could help to specify how the impact of learning and development will be evaluated at the Children's Services team level (Indicator 2.2) and also at the HBC corporate level (Indicator 2.1).

This would also enable a more effective evaluation of the investment in people and this in turn could be used to further develop the strategy for improving the performance of the organisation (Indicator 10.1).

# 4.  CONCLUSION

Children's Services should take great credit in meeting the requirements of the Standard in relation to the agreed Corporate Pre-Review Objectives.

It has clearly achieved much in all areas but with some further work currently under way to fully embed the revised Corporate Appraisal Scheme and develop the "Hartlepool Manager" by more specifically defining and communicating these capabilities. Other development work relates to developing the evaluation processes within the Children's Services and HBC as a whole.

The Strategic Planning process underpins every aspect of the development of Children's Services and its key role within Hartlepool Borough Council.

# NEIGHBOURHOOD SERVICES

**DEVELOPING STRATEGIES TO IMPROVE THE PERFORMANCE OF THE ORGANISATION**
*An Investor in People develops effective strategies to improve the performance of the organisation.*

1. Theme - **BUSINESS STRATEGY** - A strategy for improving the performance of the organisation is clearly defined and understood.

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|---|
| 1. Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance |
| 2. Top managers ensure the organisation has a business plan with measurable performance objectives |
| 3. Top managers make sure there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisations business plan |
| 4. Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives |
| 5. People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan |
| 6. People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them |

Discussions with senior managers provided evidence that Hartlepool Borough Council - Neighbourhood Services had a clear purpose and vision and a strategy for improving performance.

'To ensure that the service delivery is what the public want and appreciate.'

This vision was communicated through an overarching Community Strategy and Council Plan, which sets out key priorities and goals for the Council. Every service area within the Council prepared a Service Improvement Plan which clearly outlined the key priorities, performance targets and timescales.

Senior managers described how people at all levels were encouraged to contribute to the Service Improvement Planning process. Various meetings had take place, with staff and members of the public, which had provided the opportunity to share the objectives of the Council Plan and to discuss specific key issues that mean something to the public, areas to improve and the actions required to improve the overall performance.

Representative groups had been included in this planning process either within their own Service areas or through official channels such as Joint CNT quarterly liaison meetings.

Managers described how they involved people at various stages when developing the Service Improvement Plan and when agreeing team and individual objectives. Various forums were used such as Community Planning groups, Development Management Team meetings, Steering groups and Team meetings. One manager explained that as Service plans covered the period between April to April she had encouraged people to start thinking about identifying priorities from November onwards in order to fully prepare for the coming year.

People clearly understood the objectives of the Department and their team's and personal contribution to achieving them. Examples included:

- Working with 30 schools in the area in order to keep grounds maintained to a high standard.
- Ensuring the community is safe

- Reducing the number of complaints from the community by responding to all environmental issues quickly
- Increasing re-cycling
- Completing highways work on target or ahead of target
- Adhering to all health and safety guidelines in relation to food hygiene
- Providing a high level of support to all departments especially in relation to issuing performance reports

2.  Theme - **LEARNING AND DEVELOPMENT** - Learning and development is planned to achieve the organisation's objectives.

> 1. Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.
> 2. Managers can explain team learning and development needs, the activities planned to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.
> 3. People can explain how they are involved in identifying their learning and development needs and the activities planned to meet them.
> 4. People can explain what their learning and development activities should achieve for them, their team and the organisation.

During the interviews senior managers explained that learning and development needs were identified through various channels. These included:
- Supervisory interviews
- One to one discussions
- Changes to legislation
- Performance Appraisal

They also explained that the Performance Appraisal process had been revised recently in order to clarify roles and expectations, provide feedback on performance and to identify individual development needs. This process also included a self assessment which allowed the individual to assess their own performance prior to their review with their manager. Following Appraisal, Personal Development Plans were produced for the individual, and all training requests were centrally collated and included in a comprehensive Departmental Training Plan.

Senior managers also explained that the Performance Appraisal Policy included a Competency Framework to set out the seven values which underpinned everything the Council do, some of which were applicable to all staff, some only to managers. By using a rating system between levels 1 – 5, people were able to discuss the level of their performance and identify areas for improvement which enabled appropriate training to be identified.

One senior manager explained that given the age profile within the Department, succession management was a priority and this was being fully addressed by ensuring managers, supervisors and potential leaders of the future were given the opportunity to acquire the necessary skills. A comprehensive Leadership and Management Development Programme (LMDP) had been developed initially in 2005 and this had been further enhanced to include additional modules.

As there had been a huge commitment to peoples learning and development, senior managers also explained that return on investment had been considered and this was monitored through for example:
- Training reviews
- Observations
- Performance reports
- Customer feedback

- CPA assessment outcomes
- Discussions to determine what the individual gained from attending training

At team level, managers and supervisors were responsible for ensuring that people's learning and development needs were identified and addressed.

One manager described how their two members of staff had similar needs in terms of future development as the decision had recently been taken to combine services offered into one central team, therefore a multi-skill training initiative had just been implemented. This was being made possible through on the job coaching and team training sessions. Various methods were being used to monitor progress including observations, discussions and close monitoring of performance targets.

Another manager explained that changes to the Traffic Management Act had resulted in people requiring knowledge of new legislation and this had been addressed by making arrangements for people to attend a National Conference.

People confirmed that they were involved in identifying their own development needs through the appraisal process, in team meetings, one - one supervisions and on an ad-hoc basis if necessary

*"We have a wide range of training providers, both internal and external and whenever we have identified a need for training, the most appropriate form of provision is considered."*

One member of staff explained that she had recently started a new role which was quite a change for her. She had discussed her existing skills and through discussion with her manager had been able to identify that shorthand, Integra financial system and Microsoft training would all be beneficial as it would make her more competent and efficient in her role. This had all been arranged via the Work Force Development team and was progressing well.

During interviews, it was evident that people had a very clear understanding of how learning and development could improve their own performance, their team success and the overall performance of the Department and examples included:

- Learning from skilled craftsmen to maintain a quality service
- Making sure own knowledge was up to date to ensure staff can be updated in terms of legislation and health and safety
- Keeping up to date with First Aid guidelines and procedures with a view to helping members of staff and the public
- COSSH training to understand chemicals and storage in order to minimise the risk of accidents
- Improved awareness of risks and how to deal with them
- Provision of first class customer service
- Provide effective leadership
- Improved social awareness

3. Theme - **PEOPLE MANAGEMENT STRATEGY** - Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.

1. Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance.
2. Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.
3. Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.
4. People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance.
5. People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance.

Senior managers described the strategies that were in place to promote an equality of opportunity in terms of personal development. Many opportunities have been provided to create an environment where people had been encouraged to contribute ideas such as:

- Consultation when developing the Service Improvement Plan and in developing individual and group objectives
- Focus groups
- Team meetings
- Planning away days
- Quarterly Director briefing sessions

During an interview with one of the senior managers they explained that as the Department had a very diverse workforce across approximately 100 buildings on 20 or so sites, the needs of different people had been considered. Various approaches to learning provision had been taken with a view of making learning more effective. A range of approaches were described and included:

- Ensuring mandatory training is a rolling programme giving people more than one option of dates which they can attend, seen as particularly useful for part time / job share staff
- Providing funded study programmes if relevant to role
- Providing one – one coaching, post training and as an on-going process
- E-learning
- Provision of basic / essential skills
- Discussion groups

During interviews with managers, several commented that they had always considered their team members as individuals, therefore they would certainly have very different needs, especially in terms of how they take in new information. For example, one manager explained that a member of his team had a high level of technical ability, very methodical in his approach to learning and much preferred to research and learn at his own pace through reading and self developing. At the same time, another member of his team much preferred to discuss issues and learn from more experienced members of the team with a more hands on approach.

Another manager explained that through observations and discussion, he had realised that a team member was having a hard time writing reports and his basic grammar was impacting on the quality of report. This had been addressed through one to one coaching, reviewing a range of other people's reports and attending a day long report writing course.

Many comments were made to provide evidence of people believing that managers were genuinely committed to ensuring that everyone had appropriate and fair access to support. These included:

*"He's very approachable and I'm never reluctant to ask for help if I need to."*
*"If I can't make a meeting due to family commitments, she always updates me with what I've missed."*
*"The supervisor sorts out who's doing what every morning and always checks that we are ok with everything, do we need to know anything else, and can they help."*
*"The Cook went on a course the other day and when she came back she told us what she had learnt and how we could improve the way we layout and store food."*

Examples were also provided of people being encouraged to contribute ideas to improve performance through:

- Team meetings
- Away days
- One to one discussion with manager to discuss how we can develop and implement a new initiative
- Steering groups
- Tool Box talks
- Quick morning briefing sessions

*"I suggested staggering the times we serve lunches to cut down the queue size and we are trying it out to see if it makes a difference."*
*"I asked if I could take my HGV training. It was something I wanted to do, but I could see how I could help covering rotas and it was arranged. We can now respond quicker and cover shifts."*

4. Theme - **LEADERSHIP AND MANAGEMENT STRATEGY** - The capabilities managers lead to lead, manage and develop people effectively are clearly defined and understood.

| |
|---|
| 1. Top managers can describe the knowledge, skills and behaviours that managers need to lead, manage and develop people effectively, and plans they have in place to make sure managers have these capabilities.<br>2. Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.<br>3. People can describe what their manager should be doing to lead, manage and develop them effectively. |

Senior managers described the knowledge skills and behaviours managers needed to lead, manage and develop people effectively and these had been communicated within each area of the Department during briefing sessions for the revised performance appraisal procedure and through the LMDP. As previously mentioned in this report, the Competency Framework very clearly sets out the core competencies required of all managers.

The LMDP was available for all managers to attend and had been designed in order to provide managers with the skills and knowledge they needed to lead their teams effectively and to ensure the requirements of the 'Hartlepool Manager' was fully understood and consistent across the Service.

The majority of managers were able to describe the knowledge, skills and behaviours required of them and how it had provided a clear development route for them.

There were, however a small number of managers who did not refer to the Competency Framework and gave their own opinions of what they believed to be important in relation to the role of manager
**(Development Point 1)**

The managers interviewed appeared to have a wide and varied range of management experience and had attended modules within the LMDP in order to enhance their skills and attributes.

*"As a relatively new manager it has helped me to understand the many different responsibilities I have as a manager."*
*"I really enjoyed the training and found most of it very useful"*
*"It included policies, diversity, accommodation, legal framework. Some of it was a bit basic so it may be an idea to be more selective about who needs to attend which modules."*
**(Development Point 2)**

People were clear about what they could expect from their managers, however in the majority of interviews gave their own opinions with very few referring to the Competency Framework.
**(Development Point 3)**

Examples included:
- Leadership
- Providing direction
- Being there for you
- Knowledge of the job
- Listening
- Approachable
- Trusting you to get on with the job
- Supporting you
- Motivating and developing you
- Sorting out problems
- Giving you information


**TAKING ACTION TO IMPROVE THE PERFORMANCE OF THE ORGANISATION**
*An Investor in People takes effective action to improve the performance of the organisation through its people.*

5.   Theme - **MANAGEMENT EFFECTIVENESS** - Managers are effective in leading, managing and developing people.

> 1. Managers can explain how they are effective in leading, managing and developing people.
> 2. Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate.
> 3. People can explain how their managers are effective in leading, managing and developing them.
> 4. People can give examples of how they receive constructive feedback on their performance regularly and when appropriate.

Managers were able to provide examples of how they were effective in leading, managing and developing people. For example, a manager explained that she had tried to make sure that people were allowed to learn in a manner which suited them. She further explained that she had arranged for a member of her team to go to the Learning and Resource Centre which allowed her to learn at her own pace, whilst another member of staff preferred to join a group.

Another manager explained that he looked through the wide range of updates they received to 'filter out' only the relevant information people needed, rather than bombard them with too much information.

Formal feedback on performance was provided regularly through appraisals and also informally on an on-going basis. For example, one manager explained that a member of her team had become involved with Desktop Publishing and at first had asked a lot of questions. Over time she had become more competent and now completed work to a high standard to the point where she often received thanks from other departments and recently from the Director which were also forwarded on.

Another manager explained that even when work had not been completed to the required standard, he had found a way to give constructive feedback by pointing out which elements of the job were to standard, with suggestions of how they may wish to try presenting the work in another way next time.

Numerous examples were given to confirm that people felt their managers were effective. One team member described how her manager had looked to include her in various aspects of his role and had taken her to meetings with him in order to gain more experience.

Another member of staff explained that he believed his manager to be effective as he had recognised people also had home lives which may at time impact on the day to day job.
*"He has fully supported me when I've needed it, and always asks how things are and can he help with anything."*

Several Modern Apprentices were interviewed during the assessment and they all commented on how much support they had been given throughout their development by their individual managers.

A small number of people commented that their direct supervisors or line managers were effective, however there was a view that middle managers could be more 'visible' and show more interest by visiting sites and other locations more frequently.
*"If you work in the 'Civic' it's probably ok but I've never seen our senior manager. Even the Director makes an effort to talk to us."*
**(Development Point 4)**

The majority of interviews confirmed that feedback on performance is formally given through Appraisals as well as informally as part of an on-going basis.
**(Development Point 5)**

One member of staff explained that following a piece of work one of HBC partners had commissioned an independent provider to complete, he had been asked to read through a report and decipher what it meant in order to provide the Partner with a clearer understanding of the issue, and the extent of work required. This had resulted in additional contracts being secured, therefore more income generation for the Department.
*"My manager explained what this actually meant in terms of income and how pleased he was with the work I had done."*

Another member of staff explained that her Supervisor regularly carried out inspections of stairwells and often made a point of saying how clean they looked.

## 6. Theme - **RECOGNITION AND REWARD** - People's contribution to the organisation is recognised and valued.

1. Managers can give examples of how they recognise and value people's individual contribution to the organisation.
2. People can describe how they contribute to the organisation and believe they make a positive difference to its performance.
3. People can describe how their contribution to the organisation is recognised and valued.

Managers provided a range of examples to show how they recognised and valued people's individual contributions to the organisation. For example through:

- Provision of verbal praise and thanks for jobs done well
- Positive comments expressed within appraisal documentation
- Head of Service feedback
- Articles in Newsletters
- Nominations for awards
- Forwarding personal letters of thanks
- Mention in team meeting

Throughout the interviews people described how they believed they made a positive difference to the performance of the Department with specific examples given such as:

*"By checking peoples insurance is up to date I am ensuring people are able to claim mileage and they covered for driving at work."*
*"I take safety very seriously and when I'm working on site there could be various dangers to the public which I need to be aware of. By being careful, I reduce the risk of accidents."*
*"We may only be cleaners, but to the public we are the Council therefore we have to give the right impression."*

People also commented that they felt their contribution was recognised and valued by the Service.

*"I often receive thanks from the Head teachers when I've completed work for them."*
*"I've had a lot of time and money invested in my development so that makes me feel good."*
*"I'm often asked to step in and help out at another school so they must think I'm capable and reliable."*
*"I was asked if I would be interested in taking on a new role as I had exactly what they were looking for. I was quite chuffed about that."*


## 7. Theme - **INVOLVEMENT AND EMPOWERMENT** - People are encouraged to take ownership and responsibility by being involved in decision making.

1. Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist.
2. People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role.
3. People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level appropriate to their role.

Managers described how they promoted a sense of ownership and responsibility by encouraging people to be involved in decision making.

One manager explained that the decision had been taken to bring together 2 teams which provided a support service to other parts of the Department. Rather than just decide how best to do this himself, he had brought together all concerned in order to discuss how best this could be achieved.

*"We sat down together and looked at all of the tasks and considered who had the knowledge, what were the gaps etc."*

He further explained that the decision was taken, as a team, to schedule one afternoon each week to 'multi skill' people and this was on-going.

Another manager explained that she had given the task of re-designing a Customer Self Service page on the Internet to a member of her team. This had resulted in a calendar being included for members of the public to use when they had missed their regular refuge collection, therefore calls to the Contact Centre may be reduced.

People were able to describe how they had been encouraged to be involved when decisions needed to be taken. For example, one member of staff explained that an issue had arisen which needed to be addressed and rather than wait for the regular weekly meeting she had asked her manager for a quick catch up to discuss the issue. A joint initiative with several schools in the area was at risk of being cancelled due mainly to unexpected costs. Following the joint discussion, the decision was taken to run with it as it could potentially reduce the risk of accidents in the town therefore would be extremely valuable.

Another member of staff described how he had expressed a concern over the equipment used for lifting flagstones as it appeared to be causing repetitive strain to his back. Following a discussion with his manager, and other people using the equipment, a site visit was made to gain a full understanding of the issue and this had resulted in deciding which equipment to use as an alternative.

*"They listened to our concerns and quickly did something about it."*

People could clearly describe how they had been encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, appropriate to their role. Examples include:

- Planning landscapes and gardens from an initial instruction
- Organising weekly rota's Making the best use of the resources we have
- Improving small admin procedures which will benefit everyone
- Assessing the situation when attending fault calls and arranging appropriate support
- Move deadlines for projects to ensure completed on time

## 8. Theme - LEARNING AND DEVELOPMENT - People learn and develop effectively.

> 1. Managers can describe how they make sure that people's learning and development needs are met.
> 2. People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role.
> 3. People who are new to the organisation, and those new to a role, can describe how their induction has enabled them to perform effectively.

Managers provided evidence to explain how they ensured that learning and development needs were met, either as a result of Appraisals or when the need arose following, for example changes to legislation. They also explained that a comprehensive catalogue of courses was available via the Work Force Development team or Corporate HR and that in some cases, where there had been a need for role specific training, managers or the individual would research the possibilities and examine content before making a formal request.

People were able to give many examples of how their learning needs had been met. Examples included:

- Health & Safety –improved awareness
- Management Development – gaining new skills and a more rounded understanding of the role requirements
- Manual Handling – self protection
- Disability awareness – considering others
- External qualifications – personal development
- NVQ – focus on all aspects of role
- Food hygiene – providing healthier food with less risk of food poisoning and safer storage of food
- Equality and Diversity – knowledge of how to relate to people
- JCB – using machinery safely
- First Aid – assisting people
- COSHH – reducing risks of accidents and safe use of chemicals
- Modern Apprenticeships – developing skills and trades
- Chain Saw – correct use of equipment, aware of risks

People relatively new to the organisation were able to confirm that they had received an effective induction. This included statutory training such as health & safety, policies and procedures, site tours, role specific training and introduction to Directors and managers.
*"It took 3 months to get a driver up and running as they had to go through a CRB check, a 1.5 day MIDAS Driver course plus a range of other mini Sources in Manual Handling etc."*

People who had taken on new roles and responsibilities, or those returning to work following for example maternity leave, stated that they had received an effective induction into their new responsibilities and any changes which had been implemented, which in the main had been delivered through line managers, observing other colleagues and in attending role specific training if necessary.

*"I quickly felt as if I hadn't been away and soon settled back in."*
*"I already had a good understanding of the role, but not the detail of certain procedures. That's been a gradual process."*
*"The supervisor spent quite a bit of time explained all the cleaning materials we need to use and how to store them."*

# EVALUATING THE IMPACT ON THE PERFORMANCE OF THE ORGANISATION

*An Investor in People can demonstrate the impact of the its investment in people on the performance of the organisation*

9. Theme - **PERFORMANCE MANAGEMENT** - Investment in people improves the performance of the organisation.

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1. Top managers can describe the overall investment of time, money and resources in learning and development.

2. Top managers can explain and quantify, where appropriate, how learning and development has improved the performance of the organisation.

3. Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation.

4. Managers can give examples of how learning and development has improved the performance of their team and the organisation.

5. People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation.

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Senior managers explained that there was a training budget allocated to each Department, and during 2007 a total of £750k had been spent on training. However the Corporate budget was also used for certain mandatory training and this was also monitored closely. The Department had also taken full advantage of any funding availability to further support training provision.

They further explained that the Departmental Training Plan clearly outlined these costs plus all time spent on both academic and non academic training days. For example, information taken from the Corporate Booking System confirmed that over 2k days of corporate training had taken place over the same period.
**(Development Point 6)**

As a wide range of training providers were used to deliver the most appropriate training for the individual, a summary of providers was also included in the Departmental Training Plan, including both internal and external facilitators.

The assessment confirmed that at a senior level there was a clear understanding of the value gained from learning and development activities. The overall performance was monitored and evaluated as part of an on-going process, during senior management meetings and at individual team level. This was also supported by more detailed reporting such as CPA audit reports, performance management reports and customer surveys.

Senior managers also highlighted that their own observations had confirmed that their commitment to investing in their people had made a difference as people were becoming more competent and confident within their roles and ready to face challenges they may have previously avoided. Other examples sited included:

- Managers leading by example and implementing skills and behaviours as determined in the LMDP
- Making decisions and not being afraid of taking risks
- Positive approach with a 'can do' attitude
- Willingness to take on additional and new duties
- Being pro-active rather than re-active
- Challenging decisions

Numerous examples were also provided to describe how effective evaluation has been used to inform future planning. For example;

One senior manager explained that he had talked to various members of staff and asked the question, "What did you get out of it" or "What are you now doing differently" "Are you a better manager". If responses had not been positive to any of the questions, the training content, provider etc had been reviewed.

Another senior manager explained that, following discussions with one of his managers, it had been established that one module within the LMDP was inappropriate for the individual as it was quite low level in relation to the skill level already achieved. Therefore more emphasis had been placed on selecting exactly who should attend, and from what level.

Managers at all levels were able to provide examples to show how the performance of the organisation had improved as a result of learning and development:

- Targets being achieved and deadlines met, either on time or ahead of time
- Recognition from external bodies
- Individuals taking on extra responsibilities
- Team members asking fewer questions
- Reduction in errors
- Supervisors becoming more confident

People provided numerous examples of how learning and development has improved their individual performance, their team's performance and ultimately the performance of the Service:

- More confidence, therefore more productive
- Development of specialist skills saving money for the Department by providing a service internally
- Cascading knowledge following training courses therefore reducing overall training costs
- Career development resulting in people continuing with a career in HBC therefore saving costs on recruitment and training

## 10. Theme - CONTINUOUS IMPROVEMENT - Improvements are continually made to the way people are managed and developed.

1. Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people.
2. Managers can give examples of improvements they have made to the way they manage and develop people.
3. People can give examples of improvements that have been made to the way the organisation manages and develops its people.

Senior managers confirmed that specific evaluation of all learning and development activities had taken place to monitor success and to make improvements and changes where necessary. One senior manager explained that there had previously been an assumption that people with a high level of technical ability may have been able to make the transition to manager, however this had not necessarily been the case. Evaluation had shown that people needed a more rounded awareness of the overall responsibilities they would be expected to take on, and to be provided with the appropriate skills. Therefore much more emphasis had now been placed on identifying exactly what level of knowledge and skill people needed resulting in the revised Appraisal process and the LMDP.

*"People must be given the chance to fail; they learn from this and are given the chance to succeed."*

Managers were able to provide examples of improvements they have made to the way they manage and develop people including;

- Taking more time to consider the individual and what they may need
- Being more aware of responsibilities
- Being pro-active
- Sharing ideas
- Asking for people's opinions
- Providing clearer
- Not being afraid to take risks
- Embracing change

A wide range of examples were also provided of how improvements have been made to the way people are managed and developed including;

- Managers asking for our opinion
- More scope for training
- More opportunity to gain professional qualifications
- Managers also attending training to develop their skills
- Variety of work

*"I've always been very happy working here and see no reason to move on.*
*"There may be changes afoot with Job Evaluation but I still feel quite secure."*
*"I never dread coming to work, everyone is friendly and supportive, we have a laugh but still get the job done."*

## 2. KEY STRENGTHS

This summary identifies the Key Strengths identified during this assessment, much of which reflects excellent good practice some of which is not covered in great detail. The main strengths are therefore related to particular good practices identified on the assessment:

<u>CULTURE</u>

During interviews, various people explained how the 'old council' approach had disappeared and Neighbourhood Services was now becoming much more forward thinking, positive, innovative with a strong emphasis on exploring ways in which success can be achieved.

<u>SUPPORT</u>

A high level of support was offered at all levels. Managers considered this as a key component of their role and had adopted an open door policy from anyone requiring help, guidance and encouragement. This approach also appeared to be echoed at a team level with many people referring to good team spirit and camaraderie.

## STAFF INVOLVEMENT

During almost all of the interviews people at every level were able to give examples of how they were involved in decision making and planning. There was a feeling generally that everyone 'had a voice' and that they are given the opportunity to air their views should they wish to do so.

## LEADERSHIP AND MANAGEMENT

A huge investment in terms of providing managers with the capabilities they needed in order to lead, manage and develop people effectively.

## WORK LIFE BALANCE

A commitment to support people during difficult times or being flexible with working hours when the need had arisen

## EQUALITY OF OPPORTUNITY

A commitment to ensure that everyone had the same access to the information about learning and development opportunities was clearly in place and a number of examples were given by individuals of how their individual needs had been met in a very flexible way.

# 3.    DEVELOPMENT AREAS

The main areas for improvement identified in the Findings are summarised below.

### Development Area 1 -        Leadership and Management Strategy

Whilst the majority of managers referred to the Competency Framework, a small number of managers appeared to give their own opinions of what was expected of them as managers. Therefore there may be some value in revisiting the Competency Framework during management appraisals and review to further strengthen this understanding.

### Development Area 2 -        Learning and Development Strategy

As there were several comments made to suggest the level of content within certain modules was perhaps lower than skills already held by technical experts, there may be an opportunity to place more emphasis on identifying the most appropriate modules for the individual. (note this had already been the case in certain areas).

## Development Area 3 -      Leadership and Management Strategy

Linked to Development Area 1, a number of people could only offer their own opinions of what they would expect from their managers and were unable to recall ever having a conversation which outlined 'two way' expectations. The Department may therefore wish to incorporate this good practice to any future Appraiser training.

## Development Area 4 -      Management Effectiveness Strategy

There were many very positive comments of how people considered their managers to be effective. There were however a minority number of people who mentioned they had either never met there middle managers, or had not seen them visiting outlying locations.

## Development Area 5 -      Management Effectiveness Strategy

The recently revised Appraisal process was considered to be an improvement and appeared to be working extremely well in most areas. The Department was aware before the assessment that not all appraisals had been completed, therefore continuing with the programme would prove to be advantages. Several middle managers did comment that they presumed Appraisals had taken place but were uncertain therefore there may be an opportunity to complete a full review to ensure all have been completed within the necessary timescales.

## Development Area 6 -      Performance Measurement Strategy

Many measures were in place in order to monitor return on investment. Whilst cost, time and resources had been considered, certain learning and development activities had not been included, such as coaching, mentoring etc. This had been acknowledged prior to the assessment taking place and was already being considered for the future. By completing this process, the Department would gain a more comprehensive account of their full investment in people development.

# REGENERATION AND PLANNING

**DEVELOPING STRATEGIES TO IMPROVE THE PERFORMANCE OF THE ORGANISATION**
*An Investor in People develops effective strategies to improve the performance of the organisation through its people.*

1.    Theme - **BUSINESS STRATEGY** - A strategy for improving the performance of the organisation is clearly defined and understood.

> 1. Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance.
> 2. Top managers ensure the organisation has a business plan with measurable performance objectives.
> 3. Top managers make sure the organisations there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisation's business plan.
> 4. Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives.
> 5. People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan.
> 6. People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them.

The top manager explained that the Department was currently reviewing its Community Strategy through their Local Strategic Partnership (the Hartlepool Partnership) with a small team taking the lead. This work was based on working on a range of 7 Community Strategy themes with a specific committee attached to each. The partnership's 20 year vision was:

*'Hartlepool will be a thriving, respectful, inclusive, healthy, ambitious and outward looking community, in an attractive and safe environment, where everyone is able to realise their potential.'*

He stated that partnership and cross-sector working were at the heart of the Department's values.

*"Partnership working is well engrained."*

He also explained how this was the first year he had worked with the 3-level objective setting and planning process and how as part of the Corporate Management Team (CMT) his role was to help develop and reinforce the Hartlepool Borough Council purpose and vision and in implementing the strategy for improving performance. The Service Plan's and Departmental Plan contained a large number of Objectives and Key Targets of which the large majority were clearly measurable in SMART terms.

*"At the Divisional Heads level we do most of the corporate level work."*
*"It is very different and works both top-down and down-up at the same time."*
*"It works pretty well – you can see the links to the Department level down Service Plans and to specific activities at the service level."*

Senior managers explained how their values, strategies and plans connected to those of Hartlepool Borough Council at the corporate level through the "Golden Thread" and updates were given through Staff Briefings etc.

*"The staff briefings are really helpful at connecting the work we do with the bigger picture."*

The senior manager explained that in terms of the Strategy for developing the organisation and as contained in the Workforce Development Plan this centred on developing the attributes and competencies of managers through the Leadership and Management Development Programme (LMDP).

It was also stated that the main process for overall performance review and individual objective setting was the new Appraisal Scheme and processes in the Department and the following comments were made:

*"Appraisal is the Council's structured way – but it is at the early stages as its new – It was only introduced in the spring – So the training review process has not fully kicked in yet."*
*"It's about doing it together – not having it done to you."*
*"……..although a lot of it is on an ad hoc basis – My own personal view is the need to strike a balance between a supportive process for the member of staff plus a useful process for performance management."*
*"My Director appraised me and I appraised my people – There was a desire to have the programme completed by July – We struggled because of a number of reasons – particularly workload."*
*"I am not clear on the role of Grandparents."*
*"For me there were no surprises because we do it on a day-to-day basis."*
*"There was good agreement on the assessments through discussion."*
*"My individual objectives are very much centred on the qualifications I need to gain for my job and my career."*

On this basis as the appraisal scheme was still in the stages of full implementation we were asked to review and feedback on how well this implementation was being received by those involved.   **(Development Point 1)**

Managers explained that there were regular team meetings as well as a range of regular one-to-one support activity. People stated that were actively encouraged to express their opinions, identify their needs, set and review targets, contribute ideas and make suggestions for change through these forums and interventions.

*"I meet all Section Heads on a one-to-one basis weekly and see them on a daily basis."*
*"Our monthly team meetings follow a set agenda and cover corporate issues, individual Performance Indicators and other core issues such as Health and Safety and IT etc."*
*"On an individual basis I have a monthly on-to-one to look at my plans review my workload and discuss key issues."*

2.   Theme - **LEARNING AND DEVELOPMENT** - Learning and development is planned to achieve the organisation's objectives.

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|---|
| 1. Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these linked to the achieving specific objectives and how the impact will be evaluated. |
| 2. Managers can explain team learning and development needs, the activities planned to meet them, how these link to the achieving specific team objectives and how the impact will be evaluated. |
| 3. People can explain how they are involved in identifying their learning and development needs and the activities planned to meet them. |
| 4.People can explain what their learning and development activities should achieve for them, their team and the organisation. |

A senior manager explained that the corporate level Workforce Development Strategy 2007-2012 described the key corporate level learning and development priorities. Strategic Workforce Planning at Hartlepool had been underpinned by the establishment of a strategic working group with key terms of reference and with representatives from all Departments and including representation from Regeneration and Planning.

The Directorate identified its learning and development needs through a Training Needs Analysis in relation to all its partners and key stakeholders resulting in the identification of a range of key issues and priorities which were contained in the Workforce Development Plan for the Department. There was a dedicated budget for Learning & Development.

*"There is a premium on working in partnership."*
*"The Work Force Development Plan is linked to the Council one for the first time this year – My own concord with managers is bringing out what is happening in teams so we can build on it and agree the outcomes for the future."*

Senior managers and managers were able to talk about the wide range of development needs demanded in the Department, including:

- Leadership and Management
- Performance and Risk Management
- Project Management and Consultation Skills
- Professional and Technical Skills
- Building and maintaining external relationships with partners and stakeholders
- Knowledge about key legislation such as the Youth Justice Bill etc.
- Specific occupational knowledge and skills e.g. Sexual Offenders etc.
- ICT and core systems training such as INTEGRA, COVALENT and ILAP etc.

They also described how learning, development and training was explained as relating to key areas: Generic, Management related (both supplied corporately) and Professional Development. They described how a number of the Modules of the corporate Leadership and Management Development Programme (LMDP) had helped towards delivering management level needs. A range of support was also delivered by Section Heads including the identification of ongoing needs, through one-to-one support and also through appraisal.

Managers explained how individual managers had been supported through working towards and achieving qualifications such as the Certificate in Management Studies and NVQ level 4 and 5 in Management.

They also accessed a range of short courses and seminars and subscribed to specific Professional Bodies including the Royal Town Planning Institute where they had purchased 2 season tickets so people could access this across the region. This helped them to look at and learn more about key issues such as Town Centre Management and Housing and local supply etc. There were also specific Professional Frameworks which had been set up to improve professional performance and other linked CPD Programmes etc.

As mentioned above the new Appraisal Scheme was described as a key driver for ongoing development in the Department. In specific terms it was described as the process for identifying individual development needs and for the development of personal, team, service and organisation development plans.

People were able to explain what their learning & development activities should achieve for them, Regeneration and Planning Department and for HBC as a whole.

*"The NVQ enables you to closely look at what you do – the learning methods used help you to review how you are doing."*

*"The LMDP has helped me to recognise I have a lot to learn and that I need to keep on top of it – I still have 2 Modules to do."*

*"All our managers have undertaken learning and development and obtained Professional Certificates."*

Senior managers explained that much of the planned top level evaluation activity for Regeneration and Planning Department was connected to the corporate processes. There were also a range of high level targets related to people's needs which underpinned many of the core high level objectives for the Department. Other specific service performance was reviewed at the Department level through Working Groups, Risk Analysis, Client Questionnaires, through Site Inspections and through the use of assessment tools such as Best Value and ASSET etc.

*"In a way the performance monitoring we do is at a service level – Each Service Unit or Section have a quarterly meeting which the Director, Division Head and Section Head all attend where they discuss corporate performance management issues and review their own performance against their Performance Indicators and then identify Service Development issues to address."*

They said that they had operated this system for 3 or 4 years now and used it both as a performance management tool and as a forum to review staff development.

*"Are there staffing issues/pressures? – Are there training and development needs?"*
*"We evaluate through observation and review – It is almost visual – We review using ASSET, Court reports and by reviewing intervention plans."*
*"The trainer does evaluate all the training delivered and sends us reports."*
*"INSET puts the polish on these bits."*
*"We evaluate through a Technical Working Group (LABC) 6 months down the line."*
*"We use customer feedback and site inspections and coded questionnaires so we can trace back to specific areas for improvement – e.g. communications."*
*"We sent out questionnaires at both the vetting and completion stages and got a very good response rate."*

However, at the individual team and manager level evaluation was described as being less explicit.

*"We don't do a lot of explicit evaluation – it's mainly through feedback from individuals who had been involved in training courses, or who had attended seminars or during their longer term development."*
*"We do it a little in appraisals but I'm not sure we do it enough formally."*
*"If we get the end performance right then the input must have been right."*

Managers and staff explained that identifying individual level training and development needs was a key aspect of the new Appraisal Scheme and that this was also supported by identification through regular one-to-one support.

There were still a small number of people who had not had their appraisal.

*"The appraisals have not been done yet although we have had the training."*
**(Development Point 2)**

Everyone interviewed confirmed they had a clear understanding of why they had undertaken particular learning and development and how this would benefit themselves, their team and Regeneration and Planning Department and HBC as a whole.

3. Theme - **PEOPLE MANAGEMENT STRATEGY** - Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.

1. Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance.

2. Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.

3. Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.

4. People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance.

5. People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance.

Regeneration and Planning Department has clearly developed a learning and support culture linked to the corporate Workforce Development Strategy as well more specifically to the Departmental Development Plan and which appeared to open up equality of opportunity for all staff to learn and develop.

*"I've got a high pride in the Department and the work that we do – the Department/Section barriers are more on paper than in reality day-to-day."*

The open communications approach and the strategy of service and team meetings, one-to-ones and appraisals, together with the active encouragement to everyone to put forward their contributions, goes a long way to meet the main requirement of this Indicator.

*"There is a real open communications culture here."*
*"There is a real open door policy from the Head of Service – it's much clearer."*

In relation to the new Appraisal Scheme:

*"It's open and fair and everyone gets the same messages."*

A number of people also stated that they felt able to ask anyone at any level in the organisation for help and support.

*"We have very open communications and everyone can support each other."*

Managers described a range of strategies and activities which were used to ensure that everyone had equal access to support, development and training and on the whole, there was an equality of opportunity to develop and a number of examples of individuals who have been developed within their roles.

*"I've been tremendously well supported in my training – I've been trained to death but it was all relevant."*
*"We are a Multi Agency Service and we get regular e-mails and information sheets on a wised range or courses including those provided at a regional level."*

There were several examples provided of how the needs of part-time and Sessional staff had been addressed through looking at innovative ways of ensuring they were kept up to date.

*"There is a high turnover of Sessional Staff because they come in to gain experience but they are part of everything we do – and get all the training and development they need."*

Some individuals stated that the felt their managers were genuinely committed to ensuring that everyone had appropriate and fait access to the support they needed

*"It's the best employer I have ever had – you are well looked after in everything – it's a great place to work."*

There were a number of opportunities made available for staff to contribute ideas to improve both their own and others performance through team meetings and in regular one-to-one situations. At service level there was a constant cross-flow of ideas, help and support. Team members explained that they shared knowledge and experience regularly at team meetings and across other teams both in and outside of the Department.

*"There is a lot or peer-to-peer support and information sharing."*
*"I went round and trained a lot of people on INTEGRA."*

4.  Theme - **LEADERSHIP AND MANAGEMENT STRATEGY** - The capabilities managers lead to lead, manage and develop people effectively are clearly defined and understood.

1.Top managers can describe the knowledge, skills and behaviours that managers need to lead, manage and develop people effectively, and the plans they have in place to make sure managers have these capabilities.
2.Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.
3.People can describe what their manager should be doing to lead, manage and develop them effectively.

Senior managers referred to the Competency Framework within the new Performance Appraisal Scheme and process as a reference to the desired capabilities required of managers. Framework and that Core Modules of the LMDP were a useful tool to deliver the knowledge and skills in this area and this was supported by a range of other methods such as external qualifications, specific seminars and CPD as appropriate. They explained that whilst the Framework primarily set out requirements of all staff, management requirements were clearly identified and included areas such as:

- Leadership Skills
- Managing Performance
- Developing Skills
- Managing People
- Problem Solving

Managers interviewed gave relatively consistent descriptions of the required skills, knowledge and behaviours required by managers to lead, manage and develop people effectively and people were also able to confirm this in similar general but consistent terms.

*"The key capabilities required of our managers are contained in the competency framework in the new Appraisal Scheme documentation."*
**(Development Point 3)**

The term "Hartlepool Manager" was used by some managers and they also described a range of ways that they had been developed to become effective in these terms as well as describing how the LMDP had been used to support this.

As the new Appraisal Scheme has still to complete the process cycle fully there is still some work to be done to further enhance the ability to develop more specific definitions of the manager's capabilities (The "Hartlepool Manager").

This would support future development related to the performance reviews of managers as contained in the requirements in the Investors in People Standard at Levels 2 and 3 which talks in terms of *"Top Managers make sure managers are regularly review against the capabilities and reeve constructive feedback on their performance."* (Development Point 4)

The majority of people were able to describe the capabilities that they felt their managers needed to manage and lead them effectively and described how this was consistently demonstrated. This included regular day-to-day support and coaching and keeping team members motivated and informed through team meetings, one-to-ones and appraisals etc.

## TAKING ACTION TO IMPROVE THE PERFORMANCE OF THE ORGANISATION
*An Investor in People takes effective action to improve the performance of the organisation through its people.*

5. Theme - **MANAGEMENT EFFECTIVENESS** - Managers are effective in leading, managing and developing people.

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| 1.Managers can explain how they are effective in leading, managing and developing people. |
| 2.Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate. |
| 3.People can explain how their managers are effective in leading, managing and developing them. |
| 4.People can give examples of how they receive constructive feedback on their performance regularly and when appropriate. |

The current management approach was described by managers in the terms described under Indicator 4 and the link to this Indicator means that the communication of more clear management capabilities also links into this Indicator. (See Development Points 3 & 4).

Managers gave examples or how they felt they were effective including:

*"If you show high levels of respect and commitment then it will come back to you."*

People spoke very positively about the constructive feedback culture that appeared to have been developed throughout Regeneration and Planning. This feedback was provided formally through regular appraisals, through one-to-ones and in many cases on a day-to-day basis and through having a clear open door policy and being involved in team activities and a range of work projects etc.

Everyone talked in very positive terms of their own manager's knowledge, skills, abilities and behaviours.

*"My manager set aside time at work for me to carry out some internet research for my course."*
*"We get together as a whole team once a month – the manager is a very good communicator."*

The use of a range of consultative activities clearly supported the communication of the Department's progress against plans.


## 6.   Theme - **RECOGNITION AND REWARD** - People's contribution to the organisation is recognised and valued.

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| 1.Managers can give examples of how they recognise and value people's individual contribution to the organisation.<br>2.People can describe how they contribute to the organisation and believe they make a positive difference to its performance.<br>3.People can describe how their contribution to the organisation is recognised and valued. |

Managers were able to talk about how they used regular feedback to recognise people's contribution to the organisation. This was done both on an ongoing basis and more formally through one-to-ones, team meetings and appraisals etc. People were also able to make good links between their own contributions and the HBC and Regeneration and Planning Department Visions & Plans.

"Celebration of Success" awards and events were described by a range of people in very positive terms as being an effective way of recognising and valuing their contribution particularly at the corporate Hartlepool Borough Council level.

*"It's about simple things on a day-to-day basis – Saying thank you – I make a point of sharing recognition received from beyond the team."*

A number of people spoke of "The Golden Thread" that runs through planning & delivery and people were consistently able to conform that managers regularly recognised and used opportunities to give feedback and praise were appropriate.

*"This happens through monthly meetings including the feedback of recorded figures and performance against Performance Indicators."*

Everyone believed they made a significant contribution towards the overall performance of Regeneration and Planning Department and also to the achievement of personal and team objectives. Job evaluation and capacity issues had also affected morale to a certain degree and the level at which a small number of people felt valued.


## 7. Theme - **INVOLVEMENT AND EMPOWERMENT** - People are encouraged to take ownership and responsibility by being involved in decision making.

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| 1.Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist.<br>2.People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role.<br>3.People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level appropriate to their role |

Managers described how they worked to involve their team members in decision making and how they helped to develop a sense of responsibility, ownership and commitment. This was linked to the staff's direct involvement with partners and stakeholders when making day-to-day decisions in their work activities affecting the performance of individuals, their work team, the Regeneration and Planning Department and HBC as a whole.

*"We used 3 separate groups to look at the detail on the Service Plan."*
*"Everyone owns our plans."*

Managers explained how they encouraged people to make suggestions in a range of ways and all staff described how they were constantly and actively encouraged to contribute new ideas and suggest ideas for improvements on an individual basis and through team meetings and by attending representative groups etc.

*"We have team meetings once a month."*
*"We devolved it all, it involved the whole team including admin."*

Staff interviewed were able to identify a range of decisions that they had taken and how these decisions had had an effect on both the team and on HBC as a whole. They stated that there was a significant amount of autonomy and empowerment across Regeneration and Planning Department.

*"I attend the INTEGRA Group as our representative – I get my say and also find out what other Departments are doing."*
*"I've been on the INTEGRA team from the start."*
*"I had a lot of involvement – there was a change of manager – they asked me 'How do you want to proceed?'"*
*"A large part of my job is decision making."*
*"We are planning to open up to have case management meetings as well."*

## 8. Theme - LEARNING AND DEVELOPMENT - People learn and develop effectively.

> 1. Managers can describe how they make sure that people's learning and development needs are met.
> 2. People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role
> 3. People who are new to the organisation, and those new to a role, can describe how their induction has enabled them to perform effectively.

All managers described their key role in supporting the development of their people and how they developed and implemented their learning and development plans. They provided a range of examples of learning and development needs that had been identified and met in relation to the needs of their team, Regeneration and Planning and HBC as a whole.

Managers explained how they reviewed and evaluated people's learning needs through a mix of formal evaluation methods such as post-learning evaluation forms and through more interactive ways such as one-to-one reviews, observations and ongoing discussion etc.

The new Appraisal Scheme and system was seen as the main mechanism by which people's learning needs were identified. This was also supported by specific ongoing development programmes such as the LMDP for managers and through the provision of a wide range of other learning activities and training support from both internal sources and through external suppliers and networks.

Everyone interviewed confirmed a clear understanding of the requirement for their recent training or development activity and more importantly had a clear understanding of this would assist them in their job, the contribution towards the success of their team and, where appropriate, how this could impact upon Regeneration and Planning Department and HBC as a whole.

People were able to provide examples of how their learning needs had been met, what they had learned and how they had applied this learning on the job.

*"I had regular diaried one-to-ones in the past with my boss and found it very useful so I started it here."*

*"I started as an apprentice did a National BTEC then an HNC then an NVQ 3 and I am currently in the first year of a Degree and after this my next stage will be working towards membership of the RICS."*

*"I recently completed the ECDL through Learn Direct and I am now much more proficient in MS Word, Excel and PowerPoint."*

The newer staff and those who had recently changed jobs confirmed that they had received a very effective and structured induction through the mix of Corporate and Department level elements.

*"I had a very bad previous experience but when I joined this Department I got really good support and it restored my faith in the staff of Hartlepool Borough Council."*

## EVALUATING THE IMPACT ON THE PERFORMANCE OF THE ORGANISATION
*An Investor in People can demonstrate the impact of its investment in people on the performance of the organisation.*

9.    Theme - **PERFORMANCE MANAGEMENT** - Investment in people improves the performance of the organisation.

| |
|---|
| 1.Top managers can describe the overall investment of time, money and resources in learning and development. |
| 2.Top managers can explain and quantify, where appropriate, how learning and development has improved the performance of the organisation |
| 3.Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation. |
| 4.Managers can give examples of how learning and development has improved the performance of their team and the organisation. |
| 5.People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation. |

Senior managers explained that the learning and development activities contained within the Department's Development Plan and also more specifically within different service areas identified the necessary financial resources required to meet many of the development needs identified. There was a clear understanding of development and training costs a specific budgets were managed to cover a mix of Corporate and Regeneration and Planning's development provision.

Senior managers described how the Cost/Benefit analysis of learning and development activity was centred at the Head of Service level and at an overall level was within the remit of the Corporate Learning & Development Team. They were able to make links between evaluating their investment in people with their strategies for improving the organisational performance of Hartlepool Borough Council.
**(Development Point 4)**

They described how, particularly through processes such as the Service level quarterly performance reviews, they had been able to review and clarify the overall learning and development provision for the Department, agree and prioritise needs and look at the most cost/effective ways of meeting the needs.

*"We buy into a pot to access regional training and bought 300 training days last year at a cost of £10,000 and after reviewing evaluating our provision we have only bought in what is actually needed at a cost of £6,500 this year."*

*"Through our last Inspection feedback we realised that the quality of our ASSETs were not as good as we thought they were."*

A range of managers and people gave examples of how their learning and development had improved their own performance, the performance of their own team, the performance of Regeneration and Planning Department and of HBC as a whole.

*"We have met the target of getting 80% of our people through the Professional Certificate of Effective Practice."*

*"Now I have got my one-to-ones diaried its much more successful – it's more structured –lots of updated information and people can prepare for it."*

*"The LMDP has been very useful – it gave me more confidence."*

Some managers stated that there individual evaluation was less formal and an area where they and their teams could improve.

*"I talk to them and ask them what they got out of it – I wouldn't do anything more formal than that."*

*"We could benefit by capturing more on what we achieve and in reviewing our results in all areas so that we could evaluate the performance of our individuals and teams more effectively.* (Development point 6)

10. Theme - **CONTINUOUS IMPROVEMENT** - Improvements are continually made to the way people are managed and developed.

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1.Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people.

2.Managers can give examples of improvements they have made to the way they manage and develop people.

3.People can give examples of improvements that have been made to the way the organisation manages and develops its people.

---

The feedback from the top level evaluation activities from external accreditation inspection frameworks provided clear evidence of improvements which have been fed into the strategy for managing people in the Regeneration and Planning. As the overall corporate evaluation systems and processes in Hartlepool Borough Council become more fully developed then this will provide more comprehensive feedback evidence to inform future development strategies for the Authority.

Senior managers and managers in Regeneration and Planning Department interviewed gave examples of how programs such as the LMDP and the new Appraisal Scheme had resulted in improvements to HBC's overall strategy as well as to their own approach for managing and developing people. These improvements to the organisation's strategy had come about as a result of the cost benefit analysis and review of core systems, processes and procedures and managers and people both confirmed examples of specific improvements made.

*"Appraisal is about what you can do not what you can't."*

*"The new appraisal process is much better because of the self-evaluation element."*

*"The new appraisal is much easier because it is step-by-step."*

*"I really like the Competency Framework."*

*"The old system was How do you feel? - the new one is How are you performing?"*

*"The LMDP has been an excellent improvement to the way we develop all our managers."*

Senior managers, managers and people interviewed thought that having a central corporate level training budget, together with an internal Workforce Development resource within Regeneration and Planning, had resulted in better and wider range of provision as well as a much more comprehensive evaluation of people's management and individual development.

From this and from the use of other feedback tools involving partners, stakeholders and service users had been used to capture key issues for the Department which were being addressed.

*"The feedback from an Anti-Social Behaviour Event identified a Skills for Life issues related to people's ability to fill in Checklists has resulted in us introducing Chat tapes and telephone methods of response."*

These approaches had proved to be much more effective in reviewing the performance of the Department and of the whole HBC organisation and key areas against Performance Indicators. Providing evidence for Indicator 10.1 will be much more comprehensive and more specific when the HBC CMT and the SMT of Regeneration and Planning Department had established a more comprehensive approach to the overall cost/benefit analysis of <u>all</u> learning and development initiatives at the overall HBC level as indicated in Development Point 4.

# 2.   KEY STRENGTHS

## <u>PURPOSE and MISSION</u>

There is a clear purpose and "mission" within Regeneration and Planning Department and everyone was able to identify how their individual, service and team objectives as well as being able to make clear connections made to the Hartlepool Borough Council's corporate  Work Force Development Strategy etc.

## <u>TEAMWORK and PARTNERSHIP</u>

Regeneration and Planning Department has a strong Team-working ethic and managers and people worked well together to share and cascade new knowledge and skills across the Department and their teams.

The concept of partnership is very strong within the Department and excellent relationships had been established with key partners, stakeholders and service users.

Within a number of teams there were many examples of managers delegating responsibility to staff to enable them to take ownership and responsibility at an appropriate level. Everyone felt that their contribution was recognised.

## LEARNING and DEVELOPMENT PLANNING

Service level Learning and Development Planning is particularly effective and key managers were all able to explain the learning needs and key objectives for their own teams and how they used one-to-ones, appraisals and team meetings to develop, reinforce and review the objectives.

## MANAGEMENT SUPPORT

Many people referred to the high level of support they received from their immediate managers and from those in a more senior position. This support had been provided on a day to day basis in terms of role requirements and also in terms of development.

## STAFF INVOLVEMENT

People spoke about the freedom and autonomy they had which allowed them to make decisions and get on with the job. Staff described how they were constantly and actively encouraged to contribute new ideas or ideas on improvements, either on an individual basis or through team meetings as appropriate.

## LEADERSHIP AND MANAGEMENT DEVELOPMENT

A huge investment in terms of providing managers with the capabilities they need in order to lead, manage and develop people effectively. There was clearly a consistency of approach and effectiveness in managing and leading in the organisation supported by the new Appraisal Scheme and the definition of Competencies and Capabilities.

## PEOPLE DEVELOPMENT

People confirmed that they had a clear understanding of the requirement for their recent training or development activity and more importantly had a clear understanding of this would assist them in their job, the contribution towards the success of their team and, where appropriate, how this could an impact upon Regeneration and Planning Department and HBC as a whole. There were many example of how people had been encouraged to develop within their jobs and careers.

## EVALUATION of PERFORMANCE

Evaluation activity was centred on a mix of external accreditation inspection frameworks and also used a range of performance measurement tools and approaches. There were now much more close links to corporate level evaluation measures.

For most of the major learning and development initiatives in Regeneration and Planning Department there is a clear identification of the financial costs and an appreciation of the benefits in terms of improvements to the service delivered and also to the identification of the potential areas for improvement.

A number of managers were able to give a range of ways that they had made improvements to the way they managed and developed their people and people also gave a range of examples of improvements that have been made to the way HBC and Regeneration and Planning Department managed and developed its people.

# 3.  DEVELOPMENT AREAS

<u>APPRAISAL SCHEME and PROCESS</u>

*Development Point 1*

As the new Appraisal Scheme was still in the stages of full implementation a full completion of the cycle and an evaluation of the process would enable improvements to be identified and integrated.

*Development Point 2*

Ensure that all appraisals are carried out as planned to support the completion of the complete review cycle.

<u>LEADERSHIP and MANAGEMENT STRATEGY</u>

*Development Point 3*

Whilst the majority of managers referred to the Competency Framework, a small number of managers appeared to give their own opinions of what was expected of them as managers. Therefore there may be some value in revisiting the Competency Framework during management appraisals and review to further strengthen this understanding so this could more specifically define the capabilities required of the "Hartlepool Manager". Plus linked to this these capabilities should be clearly communicated to managers and from managers to their staff (Indicators 4.2 and 4.3) and which would also link to indicators 5.1 and 5.3.

*Development Point 3 (Continuing Development Point)*

To consider integrating these into the documentation and process for recruitment, selection, management development and to the review criteria used within manager appraisals etc. This would also support the organisation's approach to succession planning. performance reviews and as contained in the requirements in the Investors in People Standard at Levels 2 and 3 Evidence Requirements 1, 2 and 3.

<u>PERFORMANCE MANAGEMENT STRATEGY</u>

*Development Point 4*

The SMT in collaboration with the Corporate CMT (Linked to Indicator 2.1) to review ways of developing a more comprehensive approach to the cost/benefit analysis of <u>all</u> learning and development activities including the overall investment of time as well as money and resources.

Develop more clear and accurate "descriptors" for learning and development activities could help to specify how the impact of learning and development will be evaluated at the Adult and Community Services team level (Indicator 2.2) and also at the HBC corporate level (Indicator 2.1).

# Unlock your organisation's potential

An overview of the Standard framework

# The Investors in People Standard

| Principles | Indicators | Evidence requirements |
|---|---|---|
| **Developing strategies to improve the performance of the organisation**<br>An Investor in People develops effective strategies to improve the performance of the organisation through its people. | **1 A strategy for improving the performance of the organisation is clearly defined and understood.** | 1 Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance.<br><br>2 Top managers make sure the organisation has a business plan with measurable performance objectives.<br><br>3 Top managers make sure there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisation's business plan.<br><br>4 Managers can describe how they involve people when developing the organisation's business plan and when agreeing team and individual objectives.<br><br>5 People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan.<br><br>6 People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them. |
| | **2 Learning and development is planned to achieve the organisation's objectives.** | 1 Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these link to achieving specific objectives and how the impact will be evaluated.<br><br>2 Managers can explain team learning and development needs, the activities planned to meet them, how these link to achieving specific team objectives and how the impact will be evaluated.<br><br>3 People can describe how they are involved in identifying their learning and development needs and the activities planned to meet them.<br><br>4 People can explain what their learning and development activities should achieve for them, their team and the organisation. |
| | **3 Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.** | 1 Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance.<br><br>2 Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.<br><br>3 Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance.<br><br>4 People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance.<br><br>5 People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance. |
| | **4 The capabilities managers need to lead, manage and develop people effectively are clearly defined and understood.** | 1 Top managers can describe the knowledge, skills and behaviours managers need to lead, manage and develop people effectively, and the plans they have in place to make sure managers have these capabilities.<br><br>2 Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.<br><br>3 People can describe what their manager should be doing to lead, manage and develop them effectively. |

Plain English Campaign's Crystal Mark does not apply to Indicator 3.

| Principles | Indicators | Evidence requirements |
|---|---|---|
| **Taking action to improve the performance of the organisation** — An Investor in People takes effective action to improve the performance of the organisation through its people. | **5 Managers are effective in leading, managing and developing people.** | 1 Managers can explain how they are effective in leading, managing and developing people. <br> 2 Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate. <br> 3 People can explain how their managers are effective in leading, managing and developing them. <br> 4 People can give examples of how they receive constructive feedback on their performance regularly and when appropriate. |
| | **6 People's contribution to the organisation is recognised and valued.** | 1 Managers can give examples of how they recognise and value people's individual contribution to the organisation. <br> 2 People can describe how they contribute to the organisation and believe they make a positive difference to its performance. <br> 3 People can describe how their contribution to the organisation is recognised and valued. |
| | **7 People are encouraged to take ownership and responsibility by being involved in decision-making.** | 1 Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist. <br> 2 People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role. <br> 3 People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level that is appropriate to their role. |
| | **8 People learn and develop effectively.** | 1 Managers can describe how they make sure people's learning and development needs are met. <br> 2 People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role. <br> 3 People who are new to the organisation, and those new to a role, can describe how their induction has helped them to perform effectively. |
| Principles | Indicators | Evidence requirements |
| **Evaluating the impact on the performance of the organisation** — An Investor in People can demonstrate the impact of its investment in people on the performance of the organisation. | **9 Investment in people improves the performance of the organisation.** | 1 Top managers can describe the organisation's overall investment of time, money and resources in learning and development. <br> 2 Top managers can explain, and quantify where appropriate, how learning and development has improved the performance of the organisation. <br> 3 Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation. <br> 4 Managers can give examples of how learning and development has improved the performance of their team and the organisation. <br> 5 People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation. |
| | **10 Improvements are continually made to the way people are managed and developed.** | 1 Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people. <br> 2 Managers can give examples of improvements they have made to the way they manage and develop people. <br> 3 People can give examples of improvements that have been made to the way the organisation manages and develops its people. |

# Glossary

Words can mean different things to different people. This glossary explains what certain words mean as they appear in the Investors in People Standard.

## Business plan
This is a plan that sets out the organisation's objectives. It may also be known as an organisational plan, corporate plan, strategic plan, development plan or improvement plan.

## Capabilities
These are the knowledge, skills and behaviours the organisation's leaders and managers need.

## Constructive feedback
This is information provided to an individual that allows them to understand their particular strengths and their areas for improvement in relation to their performance.

## Constructive relationships
This refers to positive working relationships between managers and representative groups.

## Consult
This means managers and representative groups regularly examining issues of mutual concern together so that they can take account of the views of employees when making decisions that are likely to affect their interests.

## Continually
This means happening often but with breaks in between each event.

## Contribution
This is the ideas, time and effort that people give to an organisation to help it achieve its objectives.

## Equality
This means recognising that while people are different and need to be treated as individuals, everyone is the same in terms of having equal value, equal rights as human beings and a need to be treated with dignity and respect. In terms of the opportunity to learn and develop, equality means preventing and removing discrimination because of someone's race, sex, disability, sexuality, religion or belief, age, marital status or other personal characteristics. It makes sure that all groups have appropriate and fair access to learning and development opportunities.

## Evaluation
This means reviewing the results of learning and development activities and identifying whether they have achieved their intended objectives and how this has had an impact on performance.

## Impact
This means the results achieved and the effect this has had on performance.

## Learning and development
This is any activity that develops skills, knowledge or attitude. Activities may range from formal training courses run internally or externally to informal on-the-job training or coaching.

## Manager
This is anyone who is responsible for managing or developing people. This includes top managers.

## Objectives
These are the results the organisation aims for to achieve its vision. To know if the objectives have been achieved, they need to be specific, measurable and time-bound. Specific means identifying exactly what needs to be achieved. Measurable means knowing how much has been achieved (for example, 5% up, £100 more or five people more). Time-bound means setting a deadline for achieving the objectives (for example, by the end of this three-month period or within one year).

## Organisation
This is the body that is working with the Investors in People Standard. It can be profit-making or non-profit-making, a charity, a subsidiary or a business unit.

## Ownership
This means people playing a greater role in the success of the organisation, and being willing to own a decision and be accountable for its outcome.

## People
This is anyone who helps the organisation to achieve its objectives – whatever role they play. It includes part-time workers, voluntary workers, people on renewable short-term contracts, and regular, casual employees. Where an indicator refers to 'people', it means everyone in the organisation (including managers and top managers). The only exception to this is where the assessor decides, based on evidence collected, that they will accept nearly everyone.

## People who are members of representative groups
This refers to people who act as official representatives, rather than ordinary members.

## Purpose
This describes why an organisation exists and what its business is. This could be expressed through a mission statement.

## Quantify
This means explaining, in measurable terms, the results achieved through learning and development activities.

## Regularly
This means at least once a year, but it could be more often. It is up to the organisation to define what is appropriate.

## Representative groups
These are groups like trade unions, other workplace representatives, staff associations, works councils and partnership councils.

## Strategy
This is the way an organisation aims to achieve its vision.

## Team
This is a small or large group of people who come together to work towards a shared goal - for example, a project team, a branch or department. In small organisations, a team may be the whole organisation. As a result, where an evidence requirement refers to team, this will mean the whole organisation if there are no smaller teams.

## Top managers
These are the most senior people in the organisation who are likely to be responsible for developing strategies and approving major investments. This could be the owners, the board of directors, partners or senior managers.

## Vision
This describes where an organisation wants to be in the future and what it wants its people and its customers to say about it.

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**PERFORMANCE PORTFOLIO**
Report to Portfolio Holder
26 September 2008

**Report of:**        Chief Personnel Officer

**Subject:**        FRAMEWORK FOR A FAIRER FUTURE – THE
EQUALITY BILL

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SUMMARY

**1.     PURPOSE OF REPORT**
To report on the forthcoming Government proposals of the Equality
Bill and its impact on the Council's Equality work.

**2.     SUMMARY OF CONTENTS**
The report sets out how the new Single Equality duty will apply to all
public authorities, proposes a new Equality Duty in the public sector;
ending age discrimination; requiring transparency; extending the
scope of positive action and strengthening enforcement.

**3.     RELEVANCE TO PORTFOLIO MEMBER**

Corporate Performance.

**4.     TYPE OF DECISION**

This is not a key decision

**5.     DECISION MAKING ROUTE**

Portfolio Holder only.

**6.     DECISION(S) REQUIRED**

Note the report

**Report of:**            Chief Personnel Officer


**Subject:**              FRAMEWORK FOR A FAIRER FUTURE - THE
                          EQUALITY BILL

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1.      **PURPOSE OF REPORT**

        To report on the forthcoming Government proposals of the Equality
        Bill and its impact on the Council's Equality work.


2.      **BACKGROUND**

2.1     Over the past 40 years there have been many laws introduced which
        were aimed at individually addressing equality issues such as race
        relations, equality for women with equal pay and sex discrimination,
        the rights of disabled people and civil partnerships.

2.2     The Government has introduced an Equality Bill to Parliament which
        is designed to strengthen protection, advance equality and simplify
        the law.

3.      **PROPOSALS**

3.1     The Equality Bill contains provisions in respect of the following:

                    ➤ Introducing a new Equality Duty in the public sector
                    ➤ Ending age discrimination
                    ➤ Requiring transparency
                    ➤ Extending the scope of positive action
                    ➤ Strengthening enforcement

        A summary of the main provisions of the Bill are attached as
        **Appendix A** and a brief commentary on each provision is detailed in
        sections 3.2.-3.6

3.2     Introducing a new Equality Duty in the public sector - A duty already
        exists for public bodies to tackle discrimination and promote equality
        for race, disability and gender.  Under the Equality Bill the existing
        duty will be replaced with one new Equality Duty, which will
        additionally include gender reassignment, age, sexual orientation and
        religion or belief.  The new Equality Duty will be framed in a way
        which makes clear the outcomes it is designed to achieve, and will be
        based around three principles:

- eliminating unlawful discrimination and harassment;
- advancing equality of opportunity; and
- advancing good relations between different groups.

It is envisaged that this provision will not create any particular difficulties for the Council as these changes have been anticipated and reflected in the Equality and Diversity Scheme which has recently been approved by Cabinet.  The scheme details the equality arrangements for the Council.

3.3     Ending age discrimination - The Bill will contain powers to outlaw unjustifiable age discrimination against adults aged 18 or over by those providing goods, facilities and services in the future. Implementation challenges are expected to be greatest in the health and social care sectors and it will be necessary to assess the impact on the Council as the Bill passes through Parliament.

3.4     Requiring transparency- The Equality Bill indicates that if inequality is hidden it cannot be addressed.  The new expanded single public sector Equality Duty is intended to make public bodies more transparent without putting an undue administrative burden on them. All public bodies will be required in their role of employer to comply with the Equality Duty and report important inequalities such as gender pay, ethnic minority employment and disability employment. The exact form of reporting is yet to be determined.  There will be further development around the role of public procurement in securing equality outcomes. Contracts which are let by the public sector to private companies will have to ensure that the contracted company has demonstrated they will tackle discrimination and promote equality. It is not expected that this will provide any particular difficulties to the Council.

3.5     Extending the scope of positive action- Positive action will be extended so that employers can take into account under-representation of disadvantaged groups when selecting between two equally qualified candidates, for example, people from ethnic minority communities and women.  This provision will give the Council additional flexibility, if needed, in the future.

3.6     Strengthening enforcement - Tribunals will be allowed to make wider recommendations in discrimination cases, which will go beyond benefiting the individual taking the case so that there are benefits for the whole workforce if the employer is found to have discriminated. This will also help to prevent similar types of discrimination occurring in the future. The Equality Bill proposes that combined multiple discrimination claims should be allowed.  At this stage it is not clear how this may affect the Council.

**4.      RECOMMENDATION**

4.1      The Portfolio Holder note the report

**5.      CONTACT OFFICER**

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<div align="right">**Appendix A**</div>

## Framework for a Fairer Future - The Equality Bill

Framework for a Fairer Future – the Equality Bill was presented to Parliament by the Government Equalities Office in June 2008.  This document can be found at:

http://www.equalities.gov.uk/publications/FRAMEWORK%20FAIRER%20FUTURE.pdf

It provides an indication of Government proposals for the content of the forthcoming Equality Bill. This Bill will be taken forward in the 08 / 09 parliamentary session.  The purpose of the Equality Bill and its accompanying package of measures will be to strengthen protection, advance equality and declutter the law.

Background

Over the past 40 years there have been many laws introduced which were aimed at individually addressing issues such as race relations, equality for women with equal pay and sex discrimination, the rights of disabled people and civil partnerships.

In February 2005 the government announced the arrival of the Discrimination Law Review (DLR). The aim of the DLR was to consider the opportunities for creating a clearer and more streamlined equality legislation framework. The DLR initially ran alongside the Equalities Review, which published its final report in February 2007.

The Government's DLR team published a green paper in June 2007, setting out its recommendations for a single equality act for Great Britain and this was followed by a period of formal consultation with stakeholders.

A detailed document setting out the Government's analysis of the responses received to consultation proposals was published in July 2008 and can be found at:

http://www.equalities.gov.uk/publications/Government_Response_to_the_consultation.pdf

In this document the Government attempts to bring out the weight of the arguments for and against a particular approach as well as indicating the number of those putting forward particular views, and their decisions on the measures they will include in the Equality Bill.

Proposals for the Equality Bill include:

## 1. Introducing a new Equality Duty on the public sector

A duty already exists on public bodies to tackle discrimination and promote equality for race, disability and gender.  Public bodies include local authorities, health authorities, schools, colleges, universities, fire authorities, police authorities and government departments.  Under the Equality Bill the existing duty will be replaced with one new Equality Duty, which will additionally include gender reassignment, age, sexual orientation and religion or belief. Public bodies will be required to look at how their policies, programmes and services affect different disadvantaged groups in the community and allow them to focus their efforts on outcomes rather than focussing on producing plans and documents.

The new Equality Duty will be framed in a way which makes clear the outcomes it is designed to achieve, and will be based around three principles:

- eliminating unlawful discrimination and harassment;
- advancing equality of opportunity; and
- advancing good relations between different groups.

A cross-government working group will develop the detail of the public sector Equality Duty proposals for secondary legislation. This group will be supported by an expert reference group involving a full range of public bodies and other key stakeholders.

Once the legislation is enacted, the Equality and Human Rights Commission will work with public authorities to help them improve their performance.

## 2. Ending age discrimination

The Bill will contain powers to outlaw unjustifiable age discrimination against adults aged 18 or over by those providing goods, facilities and services in the future.  Implementation challenges are expected to be greatest in the health and social care sectors, and the Department of Health is already taking a number of steps to tackle age discrimination.

With the number of people aged over 85 set to double over the next two decades, there is a need to ensure that older people are treated fairly, lead fulfilling lives and are able to play a full part in society.   The proposed legislation would not prevent service providers from offering age-specific goods and services where this can be justified.

Tackling harmful age discrimination is acknowledged as a long-term challenge. To allow businesses and public authorities to prepare, and to make

sure the law does not prevent justified differences in treatment for different age groups, there will be further consultation on the design of the legislation and a transition period before the new legal protections from age discrimination are implemented.

## 3. Requiring transparency

The Equality Bill indicates that if inequality is hidden it cannot be addressed. The new expanded single public sector Equality Duty is intended to make public bodies more transparent without putting an undue administrative burden on them. All public bodies will be required in their role of employer to comply with the Equality Duty and report important inequalities like gender pay, ethnic minority employment and disability employment. The exact form of reporting is yet to be determined.

There will be further development around the role of public procurement in securing equality outcomes. Contracts which are let by public sector to private companies will have to ensure that the company which has been contracted to deliver the service has demonstrated they will tackle discrimination and promote equality.

The Equality and Human Rights Commission has offered to work with the Government to develop practical guidance for both procurers and suppliers.

Employees will have the right to discuss pay inequalities with other employees if they wish to do so.

The Equality and Human Rights Commission will have the right to conduct inquiries into particular sectors. The Government has highlighted potential inquiries into the financial services sector and the construction industry.

Government will work with the business to improve transparency in the private sector, in particular through the introduction of a new "kite-mark". Many businesses, of all sizes, want to be able to demonstrate their equality credentials because they recognise that this information is of interest to shareholders, potential investors, customers, the media, their existing workforce and prospective employees. Evidence will also be gathered and published on the effectiveness of equal pay audits in closing the gender pay gap. Over the next five years, Government will use existing legislation to increase transparency in company reporting on equality.

Once the legislation is enacted, the Equality and Human Rights Commission will produce clear practical guidance for the private sector as an employer and service provider to help organisations to understand and do what is needed to comply with equality law and to act as a standard against which equality policies and practice are measured.

## 4. Extending the scope of positive action

"Positive action" does not permit under-represented groups to be given favourable treatment regardless of merit. What it does is to allow targeted measures to prevent or compensate for disadvantage or to meet special needs, so that people from disadvantaged groups can compete on equal terms. This is distinct from "positive discrimination", which disregards merit and is generally unlawful.

Positive action will be extended so that employers can take into account, under-representation of disadvantaged groups, when selecting between two equally qualified candidates, for example, people from ethnic minority communities and women.  However, making decisions irrespective of merit (i.e. quotas) or having an automatic policy of favouring those from under-represented groups will remain unlawful.

The expiry date for the use of women-only shortlists to select parliamentary candidates will be extended from 2015 to 2030.  Ethnic minority shortlists will not be allowed at this stage due to legislature, but non-legislative measures will be pursued to increase the number of ethnic minority elected representatives in both Parliament and local councils.

Government will consider with the Commissioner for Public appointments whether a specific power to encourage diversity for appointments within her remit would assist her.

## 5.  Strengthening enforcement

Tribunals will be allowed to make wider recommendations in discrimination cases, which will go beyond benefiting the individual taking the case so that there are benefits for the rest of the workforce of the employer found to have discriminated. This will also help to prevent similar types of discrimination occurring in the future.

The Equality Bill proposes that combined multiple discrimination claims should be allowed.  However, this is a very complex area and needs further exploration on how the legislation could be made to work in practice and what the costs and benefits would be. The question of how to take forward introducing representative actions in discrimination law, to allow trade unions, the Equality and Human Rights Commission and other bodies ( with the permission of the Court) to take cases to court on behalf of a group of people who have been discriminated against will also be considered.