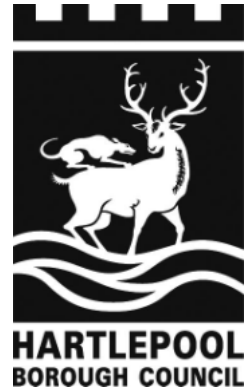


# FINANCE AND PERFORMANCE PORTFOLIO

## DECISION SCHEDULE



**Tuesday, 6 October 2009**

**at 10.00 am**

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

Councillor R Payne, Cabinet Member responsible for Finance and Performance will consider the following items.

**1. KEY DECISIONS**

None

**2. OTHER ITEMS REQUIRING DECISION**

- 2.1 2010 Property Rating List - *Head of Procurement, Property and Public Protection*
- 2.2 Irrecoverable Debts – Council Tax – *Chief Financial Officer*
- 2.3 Irrecoverable Debts – Business Rates – *Chief Financial Officer*
- 2.4 Procedure for Managing Reorganisation, Redeployment & Redundancy – *Chief Personnel Officer*
- 2.5 Christmas and New Year Arrangements – *Chief Personnel Officer*
- 2.6 Postal Services – *Head of Procurement, Property and Public Protection*
- 2.7 Tees Valley Agency Workers Contract – *Head of Procurement, Property and Public Protection*

**3. ITEMS FOR INFORMATION**

- 3.1 Employee Survey 2009 – *Chief Personnel Officer*

**4. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS**

None

**5. LOCAL GOVERNMENT (ACCESS TO INFORMATION) (VARIATION) ORDER 2006**

**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) (Variation) Order 2006

**6. KEY DECISION**

None

**7. OTHER ITEMS REQUIRING DECISION**

- 7.1 Cromwell Street Depot Restrictive Covenant (Para 3) - *Head of Procurement, Property and Public Protection*
- 7.2 Qualification Based Training Applications – *Chief Personnel Officer*

<p><b>FINANCE AND PERFORMANCE PORTFOLIO</b> Report To Portfolio Holder 6<sup>th</sup> October 2009</p>
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**Report of:** Head of Procurement, Property and Public Protection

**Subject:** 2010 PROPERTY RATING LIST

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## SUMMARY

### 1. PURPOSE OF REPORT

To inform Portfolio Holder of implications of the new 2010 Rating List and to seek approval to address the financial implications involved.

### 2. SUMMARY OF CONTENTS

The report outlines the background of the planned revision to the rating of the Council's properties and identifies a course of action to reduce the rate burden on the Council.

### 3. RELEVANCE TO PORTFOLIO MEMBER

Portfolio Holder has responsibility for the Council's land and property assets.

### 4. TYPE OF DECISION

Non Key.

### 5. DECISION MAKING ROUTE

Portfolio Holder only.

### 6. DECISION(S) REQUIRED

That Portfolio Holder authorises the appointment of a Rating Surveyor on terms to be agreed subsequent to a competitive procurement process.

**Report of:** Head of Procurement, Property and Public Protection

**Subject:** 2010 PROPERTY RATING LIST

---

## **1. PURPOSE OF REPORT**

- 1.1 To inform Portfolio Holder of the implications of the new 2010 Rating List and to seek approval to address the financial implications involved.

## **2. BACKGROUND**

- 2.1 Every five years the Government, through the Valuation Office Agency, issues a new Rating List with effect from 1<sup>st</sup> April of the year in question.
- 2.2 The List sets out a comprehensive recital of all rateable values applicable to residential, commercial and industrial property in any given rating area and is based on comparable values evidence obtained by the Valuation Office Agency two years prior to the operational date of any given List.
- 2.3 The Valuation Office Agency have now conducted all their enquiries for the 2010 Rating List for Hartlepool Borough Council properties which is to be published in advance on the 30<sup>th</sup> September 2009.
- 2.4 The 2010 Rating List will affect Hartlepool Borough Council as it directly impacts on the amount of Business Rates the Council must pay in respect of Schools, Offices and other operational and non operational buildings it occupies.
- 2.5 Currently rates payable are governed by the 2005 Rating List which came into effect on the 1<sup>st</sup> April 2005 and will expire on the 31<sup>st</sup> March 2010 to make way for the new list.

## **3. PROPOSALS**

- 3.1 The increasing requirement to scrutinise all cost centres and generate maximum income potential has focused attention on Council outgoings including business rates payable and the possibility of reducing the overall rate burden borne by the Council. As part of the Business Transformation Programme it is essential to secure savings

to contribute to Asset Management Workstream and therefore assist in benefits realisation.

- 3.2 With this in mind, the Estates Section has met with and informally interviewed two specialist international Rating Surveyors organisations each having offices in the North of England.
- 3.3 Each firm presented a comprehensive and positive overview of the current rating position thrown up by the 2010 Rating List. They each emphasised the urgent need to address the situation as it affects Council property particularly in view of the publication of the 2010 List on 30<sup>th</sup> September 2009. This provides a buffer of time in which to prepare appeals to be submitted, if appropriate, on the 1<sup>st</sup> April 2010.
- 3.4 The question of the current 2005 Rating List was also addressed and the opportunity for potential savings for this period were identified. All cases require action before the 31<sup>st</sup> March 2010.
- 3.5 The basis of fees charged by each of the firms works on the basis of 'no win no fee'. This means that if, after negotiations with the Valuation Office Agency, they fail to obtain a reduction in rates payable then no fee is payable. If however they achieve a reduction in rates payable a percentage fee of this saving is payable. This may be in range of 10% - 20%.

#### **4. FINANCIAL CONSIDERATIONS**

- 4.1 The Borough Council currently expend a total of £1.671 million pounds on annual business rates in respect of its premises.
- 4.2 If only a 10% rates saving could be achieved which has been indicated by the specialists was a possibility, a saving of £167,000 per annum could be made. From this a fee of between 16,000 and 32,000 per annum would be lost over the 5 year period of the List, leaving potential annual savings of £150,000 or thereabouts. There are examples of other Councils who have benefited from this approach.
- 4.3 If a specialist rating firm were appointed it would be on the basis of a five year rolling contract and their fees, at the appropriate percentage, would be based on annual savings made over the period, payable as these savings arose.
- 4.4 The possibility of the Council conducting its own rating appeals through the services of the Estates Section has been considered. However, due to the specialised nature of this work which involves detailed negotiation with the Valuation Office and considerable time implications related to research and appeals, the appointment of

specialist consultants who are undertaking this business on a day-to-day basis is recommended.

- 4.5 The Council's Finance Department have been consulted in this matter and they inform us that the net effect of rate savings would result in equivalent budgetary gains being achieved to the betterment of the Council's Finances. They support the approach suggested.
- 4.6 The matter of the appointment of specialist consultants has been discussed at the Strategic Capital Resource and Asset Programme Team (SCRAPT) meeting and they took the view that the matter should be pursued this manner.
- 4.7 It is proposed that three specialists in this field are invited to submit bids for the work.

## **5. RECOMMENDATIONS**

- 5.1 That Portfolio Holder authorises the appointment of a Rating Surveyor on terms to be agreed subsequent to a competitive procurement process.

## **6. CONTACT OFFICER**

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## **FINANCE & PERFORMANCE PORTFOLIO**

Report to Cllr. R. Payne

6<sup>th</sup> October 2009



**Report of:** Chief Financial Officer

**Subject:** IRRECOVERABLE DEBTS – COUNCIL TAX

---

### **SUMMARY**

#### **1.0 PURPOSE OF REPORT**

- 1.1 To seek the Portfolio Holder's approval to write-out a number of council tax debts, which are now considered to be irrecoverable.

#### **2.0 SUMMARY OF CONTENTS**

- 2.1 The report highlights council tax accounts with outstanding debts of £1000 or more and details the reasons for each debt remaining unrecovered.

#### **3.0 RELEVANCE TO PORTFOLIO MEMBER**

- 3.1 Under the Council's current financial procedures, debts of £1000 or more can only be authorised for write-out by the relevant Portfolio Holder.

#### **4.0 TYPE OF DECISION**

- 4.1 The decision is considered to be a non-key decision.

#### **5.0 DECISION MAKING ROUTE**

- 5.1 The Finance and Performance Portfolio Holder only.

#### **6.0 DECISION(S) REQUIRED**

- 6.1 That the Portfolio Holder approves the write-out of the attached council tax accounts for the reasons detailed.

**Report of:** Chief Financial Officer

**Subject:** IRRECOVERABLE DEBTS – COUNCIL TAX

---

**1. PURPOSE OF REPORT**

- 1.1 To seek the Portfolio Holder's approval to write-out a number of council tax debts, which are now considered to be irrecoverable.

**2. BACKGROUND**

- 2.1 The Council's financial procedure rules provide that any debt due to the Council of £1000 or more can only be written-out with the express permission of the Portfolio Holder.
- 2.2 Whilst every effort is made to collect debts due to the Council, certain debts become irrecoverable, and this report seeks the Portfolio Holder's agreement for their write-out.
- 2.3 It is important to note that the Revenues & Benefits Teams are proactive in encouraging the public to report cases of suspected fraud to the Council. If the forwarding address of an absconded debtor becomes apparent during the course of such investigations, the council tax debt would be reinstated on to the system, and enforcement action would recommence.
- 2.4 If payment is eventually received in respect of the individual debts, the debt will again be reinstated on the council tax system.
- 2.5 In terms of the total council tax debit to be collected, the amount written out each year by HBC equates to 0.1%, the average nationally being 0.3%.

**3. FINANCIAL IMPLICATIONS**

The appendices attached to this report detail the individual council tax debts over £1000, and the reasons why each debt remains unrecovered:

**Appendix A - No trace / Absconds\***  
**Appendix B - Bankruptcies\***  
**Appendix C - Miscellaneous\***



\* These items contain exempt information under Schedule 12A Local Government Act 1972, namely information relating to the financial or business affairs of a particular person (other than the Council)(para 7).

- 3.3 All debts submitted for write-out from the accounting records have been comprehensively scrutinised by my officers.

#### **4. RECOMMENDATIONS**

- 4.1 That the Portfolio Holder agrees to write-out debts to the value of £13,602.42 (plus costs of £1676.09) in respect of irrecoverable Council Tax.

#### **5. CONTACT OFFICER**

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Chief Executive's Finance Division  
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Direct line 01429 523130

## **FINANCE & PERFORMANCE PORTFOLIO**

Report to Cllr. R. Payne

6<sup>th</sup> October 2009



**Report of:** Chief Financial Officer

**Subject:** IRRECOVERABLE DEBTS – BUSINESS RATES

---

### **SUMMARY**

#### **1.0 PURPOSE OF REPORT**

- 1.1 To seek the Portfolio Holder's approval to write-out a number of business rates debts, which are now considered to be irrecoverable.

#### **2.0 SUMMARY OF CONTENTS**

- 2.1 The report highlights business rates accounts with outstanding debts of £1000 or more and details the reasons for each debt remaining unrecovered.

#### **3.0 RELEVANCE TO PORTFOLIO MEMBER**

- 3.1 Under the Council's current financial procedures, debts of £1000 or more can only be authorised for write-out by the relevant Portfolio Holder.

#### **4.0 TYPE OF DECISION**

- 4.1 The decision is considered to be a non-key decision.

#### **5.0 DECISION MAKING ROUTE**

- 5.1 The Finance and Performance Portfolio Holder only.

#### **6.0 DECISION(S) REQUIRED**

- 6.1 That the Portfolio Holder approves the write-out of the attached business rates accounts for the reasons detailed.

**Report of:** Chief Financial Officer

**Subject:** IRRECOVERABLE DEBTS – BUSINESS RATES

---

**1. PURPOSE OF REPORT**

- 1.1 To seek the Portfolio Holder's approval to write-out a number of business rates accounts, which are now considered to be irrecoverable.

**2. BACKGROUND**

- 2.1 The Council's financial procedure rules provide that any debt due to the Council of £1000 or more can only be written-out with the express permission of the Portfolio Holder.
- 2.2 Whilst every effort is made to collect debts due to the Council, certain debts become irrecoverable, and this report seeks the Portfolio Holder's agreement for their write-out.
- 2.3 By way of explanation, many of the write-outs included in the attached schedules are debts arising from businesses that have been declared bankrupt or have gone into liquidation. In these cases the Council's options to recover the outstanding debt are limited to submitting a claim in insolvency proceedings. As the Council is rarely successful in recovering the debt via these proceedings, the debt is written out of the accounting system in the first instance, with the proviso that the debt will be reinstated on the system if a payment is subsequently received.
- 2.4 In contrast, those debts accruing from businesses in 'administration' are not written-out of the accounting system immediately, as the Council has legal recourse to seek payment of the outstanding business rate amount from the Administrators, as an expense of the administration. Success of this action is however dependent on the ability of the business to generate revenue whilst in administration.
- 2.5 The Council will also take action against dissolved companies with outstanding business rate debts by challenging their status via an objection request to Companies House. If the challenge is successful, the Council has the option of attempting to recover the outstanding rates via a petition to have company liquidated so that a claim can be submitted in the insolvency proceedings, as detailed in 2.3.

- 2.6 It is also important to note that if the forwarding address of an absconded debtor becomes apparent at a later date, the debt would be reinstated on the system, and enforcement action to recover the debt would recommence.
- 2.7 In terms of the total collectable debit, the amount written out each year by HBC equates to 0.2%.

### **3. FINANCIAL IMPLICATIONS**

The appendices attached to this report detail the individual business rates debts over £1000, and the reasons why each debt remains unrecovered:

**Appendix A – Sole Traders / Partnerships \***  
**Appendix B – Limited Companies**

\* These items contain exempt information under Schedule 12A Local Government Act 1972, namely information relating to the financial or business affairs of a particular person (other than the Council)(para 7).

- 3.3 All debts submitted for write-out from the accounting records have been comprehensively scrutinised by my officers.

### **4. RECOMMENDATIONS**

- 4.1 That the Portfolio Holder agrees to write-out debts to the value of £364,662.88 (including £1632.00 costs) in respect of irrecoverable business rates.

### **5. CONTACT OFFICER**

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Direct line 01429 523130

## **FINANCE AND PERFORMANCE PORTFOLIO**

**Report to Portfolio Holder  
6<sup>th</sup> October 2009**



**Report of:** Chief Personnel Officer

**Subject:** PROCEDURE FOR MANAGING  
REORGANISATION, REDEPLOYMENT &  
REDUNDANCY

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

- 1.1 To seek Portfolio Holder's endorsement of the attached Procedure for Managing Reorganisation, Redeployment and Redundancy.

#### **2. SUMMARY OF CONTENTS**

- 2.1 The report sets out the key points of the procedure which is attached as an appendix.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

- 3.1 The Portfolio Holder is responsible for Workforce Development activity.

#### **4. TYPE OF DECISION**

- 4.1 Non-key

#### **5. DECISION MAKING ROUTE**

- 5.1 Portfolio meeting only.

#### **6. DECISION(S) REQUIRED**

- 6.1 To endorse the attached Procedure for Managing Reorganisation, Redeployment and Redundancy.

**Report of:** Chief Personnel Officer

**Subject:** PROCEDURE FOR MANAGING  
REORGANISATION, REDEPLOYMENT &  
REDUNDANCY

---

**1. PURPOSE OF REPORT**

- 1.1 To seek Portfolio Holder's endorsement of the attached Procedure for Managing Reorganisation, Redeployment and Redundancy.

**2. BACKGROUND**

For a number of years the Council has operated various policies and procedures in relation to structural change and the impact it can have on employees. The documents were developed and implemented at various stages and required review, modernisation and reformatting in order to produce an accurate and more user friendly document.

- 2.2 The potential workforce implications of the Business Transformation Programme required a streamlined procedure that would ensure consistency of application across all departments.

- 2.3 Supporting documentation has also been reviewed and agreed as part of the procedure in order to provide template letters, checklists and information for employees.

**3. THE NEW PROCEDURE**

- 3.1 The revised Reorganisation, Redeployment and Redundancy Procedure is attached as **Appendix A** and will harmonise and simplify the following existing Council procedures:

- Protocol for Implementing the Corporate Restructure (including Appendices);
- Corporate Redeployment Policy;
- Corporate Compulsory Redundancy Redeployment Procedure;
- Corporate Standard Redeployment Procedure.

It also takes into account the relevant sections of the Council's Local Government Pension Scheme Discretionary Policy.

- 3.2 The scope of the Reorganisation, Redeployment and Redundancy procedure includes the following amendments to existing procedures:

- The rights and responsibilities of HR will include the nomination of a lead HR officer for each reorganization / restructuring and

for reporting to the relevant Portfolio Holder regarding any proposed redundancies;

- The consultation framework is based on two stages/meetings with the affected staff, rather than three (although the potential for additional stages/meetings will be provided for);
- The selection and appointment process is based on simplified post and employee categories
- The Council's pay protection policy as contained within the Single Status Agreement is clarified
- The Compulsory Redundancy Redeployment Procedure and Standard Redeployment Procedure are consolidated into a single Redundancy Redeployment Policy and Procedure. The procedure provides for “at risk” staff to be given priority consideration where they are applying for a post at the same or lower grade as their current employment.

3.3 Not all the Appendices are attached to this report due to the volume of attachments. They have been subject to consultation with trade union representatives and include example letters and relevant pro forma, such as:-

- Example letter to staff regarding proposed changes in staffing structures;
- Example letter to staff regarding any “slotting” decisions;
- Slotting Appeals Procedure;
- Example consultation/disclosure of information letter to the trade unions;
- Copy of Form HR1;
- Other pro forma relevant to the sections contained within the procedure.

## **4. CONSULTATION**

4.1 Trade Union representatives nominated by the trade union side of the Single Table Group have provided detailed comments on the various drafts of the procedure and have confirmed agreement to the version attached to this report.

4.2 The Portfolio Holder is requested to delegate to the Chief Personnel Officer authority to make minor amendments to the Procedure with the agreement of the Single Table Group as required. Any fundamental change to the main principles of the procedure which are proposed will be reported to the Portfolio Holder for approval after consultation with trade union representatives.

## **5. RECOMMENDATIONS**

5.1 The Portfolio Holder is requested to endorse the Procedure for Managing Reorganisation, Redeployment and Redundancy.

**CONTACT OFFICER**

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## **Hartlepool Borough Council**

### **Procedure for Managing Reorganisation, Redeployment and Redundancy**

**September 2009**

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## INTRODUCTION

- 1.1 Hartlepool Borough Council is committed to the maintenance of and continued improvement in service performance, seeking to maximise the efficient and effective use of its resources and ensuring the delivery of services in a responsive manner. The Council recognises that, in order to achieve these objectives, services and structures need to evolve and transform, reflecting and responding to changing demands and priorities.
- 1.2 It is the aim of the Council to maintain and enhance the efficient and effective delivery of services in order to ensure it is best placed to safeguard the current and future employment of staff. However, it is recognised that changes will occur which will necessitate the restructuring of services with a consequent impact on staff. The Council is committed to carrying out careful forward planning to ensure, as far as possible, security of employment for staff is maintained.
- 1.3 It is recognised that such changes can cause concern for staff. The Council, working together with the recognised trade unions, will ensure these are managed in accordance with the Constitution, employment legislation and best practice, seeking to minimise any detrimental impact on staff. This will include making every effort to find alternative employment for those staff who are affected by the planned changes.
- 1.4 This procedure sets out the detailed steps to be taken during a period of change. Where redundancies are proposed as a result of reorganisation/restructuring, there are specific statutory requirements and additional employment considerations which will apply. These include both individual and collective statutory rights. This procedure sets out the steps which must be taken by the Council to ensure compliance with these requirements.

## SCOPE

- 2.1 This procedure applies to all permanent employees and those on fixed term contracts, except employees in schools where separate policies and procedures apply. It also includes any temporary staff who would have a minimum of one year's continuous employment with the Council at the proposed implementation date, provided that their employment was due to extend beyond the date of the reorganisation/restructuring of services.

## GENERAL PRINCIPLES

- 3.1 The Council will:
  - strive to balance the requirements to achieve the necessary changes, against the need to minimise disruption to services and staff;
  - operate a consistent approach for all staff, seeking to maintain continuity of employment and stability in the workplace, during any restructuring process;
  - seek to retain the skills and experience of staff within the service where practicable, avoiding job losses wherever possible;
  - where job losses are inevitable, manage these fairly, consistently and sympathetically, seeking to minimise, as far as possible, any hardship that may be suffered by the staff concerned;

- seek expressions of interest from staff in voluntary redundancy or early retirement in an effort to minimise any enforced job losses. This will be undertaken in consultation with the recognised trade unions, at an appropriate time in the restructuring;
- consult with the recognised trade unions at the earliest possible opportunity;
- ensure there is effective consultation, communication and engagement with all relevant staff at each stage of the change process.

## RIGHTS AND RESPONSIBILITIES

### Individuals subject to restructuring or a change in role will:

- comply with all reasonable requests and instructions;
- not abuse the process for personal benefit;
- have the right to be accompanied by their trade union or a work colleague at any time during the process of redeployment;
- be granted paid time off to attend interviews and meetings;
- be consulted and have preferences identified, recognising that there are no guarantees in relation to any preferences expressed;
- undertake relevant training and re-training necessary to prepare for any changed duties;
- accept suitable alternative employment and appointment offers, recognising that the Council may withhold any redundancy payment which may be due where the employee has unreasonably refused an offer of suitable alternative employment;
- keep Human Resources informed if their personal circumstances change.

### Managers will:

- make every effort to place individuals in posts which become available;
- ensure that staff and supervisors are aware of and observe this procedure and its associated provisions;
- provide support, guidance, assistance, training and induction to staff during and following the change process.

### Senior Managers will:

- give visible senior management and organisational commitment to those subject to restructuring and redeployment;
- ;
- remain up to date about the levels and types of individuals seeking redeployment.

### Human Resources will:

- regularly review this procedure and its associated provisions to ensure compliance and continued applicability;
- administer the procedure and supporting processes to ensure legal and corporate compliance with its requirements;
- identify a lead HR officer for each reorganisation/restructuring who will be responsible for the provision of appropriate advice and guidance to managers and ensuring a consistency of approach;
- ensure appropriate reporting to the relevant Portfolio Holder where any redundancies arising from the planned changes are proposed;
- arbitrate in cases of policy conflict in the application of this procedure and its associated provisions
- act as arbiters in individual cases if needed.

Recognised Trade Unions will:

- engage with the organisation in supporting trade union members through the process of change;
- respond promptly and appropriately to consultation exercises;
- engage in the planning and discussion processes;
- be available to staff for advice, comment, information and representation.

Members will:

- remain up to date about the levels of change and impact on service areas and individuals directly affected;
- make timely decisions when appropriate.

## CONSULTATION ON CHANGES TO STAFFING ESTABLISHMENTS

- 5.1 Consultation with the recognised trade unions and staff on proposed changes to services and staffing establishments will take place at the earliest possible opportunity. Consultation will be an open, planned and accessible process, providing both staff and trade unions with opportunities to inform and influence decisions and their implementation. This will require the Council to provide the fullest available information at an early stage. Consultation must involve consideration of alternatives, prior to the final decision.
- 5.2 Consultation should normally take place as part of an approved and planned organisational change project. It will take place according to an agreed consultation framework containing clearly defined stages and processes. This is set out in Appendix One to this procedure. Consultation events will be recorded and records made available to all staff and trade unions.
- 5.3 The Chief Executive or other designated officer will notify the recognised trade unions and full time officers in writing when an organisational change is being considered (see *Model Letter 1*). The timing of release of information to staff likely to be affected will be agreed between the relevant parties. Timescales will vary according to the size and scope of the service area affected and the associated change project. However, in general it is not expected that, even in case of a small area of change, proper consultation can take place in less than 10 working days.
- 5.4 Normally consultation will take place with recognised trade unions. In the absence of a recognised trade union, the staff will be requested to nominate a staff representative to be responsible for liaising over consultation with relevant managers. The agreed provisions for time off for trade union activities will apply in such situations.
- 5.5 Nominated members of the Human Resources Division will be involved in all stages of consultation processes within service areas.

## SELECTION AND APPOINTMENT

- 6.1 Once the new structure has been finalised the following selection and appointment processes will apply. All staff affected by the selection and appointment process will be afforded a consistent level of support through the process by their manager and Human Resources staff. Selection and appointment will be undertaken in a fair and non-

discriminatory manner and in accordance with the relevant national and local agreements and Council employment and equalities policies.

- 6.2 The Human Resources Division will be responsible for the overall co-ordination and management of the process of selection and appointment and must be fully involved in the change process from the earliest opportunity.
- 6.3 The Council, in consultation with the recognised trade unions, will identify the service area(s) and/or occupational group(s) which will form the selection pool for the purpose of appointment to posts within the new structure. In identifying the selection pool, the Council will take into account the extent to which the change affects more than one establishment/work location and/or service area/type of work. In some circumstances, particularly in cases of corporate restructuring, employees from more than one department will constitute the selection pool.
- 6.4 All posts in the new structure will initially be “ring fenced” to existing employees within the identified selection pool. This means that, initially, any employees not currently employed within the identified selection pool will not be considered for these new posts. Posts in the new structure will be placed in one of two categories as identified below and the selection and appointment process managed accordingly:

Post Category	Selection & Appointment Process
Posts in the new structure which are the same in number, grade and type of work (as a general guide, where a substantial amount* of the duties of the post remain unchanged) as those in the old structure.	Relevant employees “slotted” into equivalent posts in the new structure. No requirement for application or interview process.
Posts in the new structure which differ from those in the old structure in terms of number and/or grade and/or type of work.	“At risk” employees within the selection pool given priority consideration for posts at the same or one band lower within the new structure. Any unfilled vacancies then made available, initially to any other “at risk” employees outside of the selection pool, and then to all other staff within the Council. Any “slotted” employees may apply in the usual way at this point.

*\*It will be a matter for the Council to determine what constitutes a “substantial amount” according to the circumstances of each case and whether it is comparable.*

- 6.5 Similarly, all employees within the identified selection pool will be placed in one of two categories as identified below and will have access to posts in the new structure accordingly:

Employee Category	Definition	Selection & Appointment Process
Not at risk	Where there are the same number of posts, at the same grade, undertaking the same type of work (as a general guide, where a substantial amount of the duties of the post remain unchanged) in the new structure, as compared with the existing structure.	“Slotted” into equivalent post in new structure. No longer at risk of redundancy. Not eligible to apply for any posts in the new structure until “at risk” employees have first been considered (initially those within the selection pool and, secondly, any other redeployees from across the Council more broadly).
At risk	Posts which will cease to exist or change substantially	Priority consideration for posts at the same or one

	in the new structure. Where there is a reduction in the number of posts at a particular grade undertaking work of a particular kind*.	grade lower in the new structure combined with access to corporate redeployment processes.
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*\*in determining which employees are undertaking “work of a particular kind”, the Council will consider the extent to which there is a requirement for similar skills, knowledge and experience across job roles, whether the nature of the work is the same or broadly similar and the level of flexibility required in the actual duties undertaken. Account must be taken of the full range of job duties, referring not only to job titles, job descriptions and person specifications but also how the work is actually performed in practice.*

6.6 The manager will write to all affected staff confirming the new structure, together with revised job descriptions, responsibilities, and person specifications, as appropriate (see *Model Letter 3*). The letter will specify which of the above categories apply to each member of staff and the selection and appointment process that will apply to them.

6.7 Staff who are not “at risk” should be informed as quickly as possible in order to provide reassurance and help maintain continuity of service provision. Human Resources will write to each member of staff confirming the date of appointment, grade of post and salary details, prior to the date of appointment (see *Model Letter 4*). A revised contract of employment will be issued within the statutory limits.

#### **6.8 Eligibility to apply for unallocated posts**

6.8.1 The selection and appointment process for posts in the new structure which have not been filled through “slotting” will be managed on a “cascade” basis by band/management tier. Management will determine which “at risk” staff are eligible to apply for which unallocated posts within the selection pool and employees will be notified accordingly. This will include consideration of any representations from trade union representatives on behalf of members of staff, either individually or collectively.

6.8.2 All eligible “at risk” staff will be asked to express a preference or interest in the relevant unallocated posts within the new structure. Job descriptions, person specifications and application forms will be available from Human Resources for each unallocated post.

6.8.3 All eligible “at risk” members of staff who meet the essential person specification for a new post, or who may be suitable through appropriate training and development, should be interviewed for an unallocated post, on exercising a preference. HR staff will be involved in interview processes as appropriate.

6.8.4 If the preference exercise results in only one “at risk” member of staff expressing an interest for an unallocated post, then a basic interview will be held. Where the individual meets the essential person specification, or has the realistic potential to do so with training and development within a reasonable timescale, the member of staff will be appointed to the post (see *Model Letter 5*).

6.8.5 Human Resources will write to the member of staff confirming the date of appointment, grade of post and salary details prior to the date of appointment (see *Model Letter 6*). A revised contract of employment will be issued within the statutory limits.

6.8.6 If the preference exercise results in more than one “at risk” member of staff expressing an interest for an unallocated post, then a competitive interview process will take place. Those members of staff who meet the essential person specification criteria, or have the realistic potential to do so with training and development within a reasonable timescale, will be interviewed as quickly as possible, and a successful

person(s) selected. All members of staff involved will receive written confirmation of the outcome of the interviews (see *Model Letter 5*).

- 6.8.7 The successful person(s) will be formally appointed to the post. Those members of staff appointed on the basis of having the realistic potential to do the job with training and development will be required, as a condition of employment, to successfully achieve the necessary essential qualification and/or skills and/or experience within an agreed timescale. Human Resources will write to the member of staff confirming the date of appointment, grade of post and salary details, prior to the date of appointment (see *Model Letter 6*). A revised contract of employment will be issued within the statutory limits.

**6.9 Unallocated posts not filled from within the selection pool**

Any unallocated post not filled by “at risk” staff from within the selection pool will then be matched against those staff on the redeployment register. If no match is identified the post can then be advertised internally across all departments and the vacancy filled in open competition, in accordance with the Council’s Recruitment and Selection policy. Any staff within the selection pool identified as not “at risk” who were initially “slotted” into a new post may apply for the vacancy in the normal way at this point.

**6.10 Unsuccessful staff**

Any “at risk” staff who are unsuccessful in obtaining a post in the new structure will be placed on the Redeployment Register and considered for any suitable alternative employment in accordance with the Council’s Redundancy Redeployment Policy and Procedure (see Appendix Two). Other support for “at risk” staff will include the provision of assistance with job search techniques, completion of application forms and preparation of CVs, interview skills, training needs assessment, appropriate training, access to career and financial planning (to be confirmed what this means) and employee counselling.

## DEFINITION OF REDUNDANCY

- 7.1 Under the Employment Rights Act 1996 a redundancy situation will occur in the following circumstances:

- the employer has ceased, or intends to cease, to carry on the business in which the employee is employed;
- the employer has ceased, or intends to cease, to carry on the business in the place where the employee is employed;
- the requirements of the business for employees to carry out work of a particular kind have ceased or diminished, or are expected to cease or diminish;
- the requirements of the business for employees to carry out work of a particular kind in the place where the employee is employed have ceased or diminished, or are expected to cease or diminish.

- 7.2 This means that a redundancy situation will arise where there is a need for a reduction in the number of employees at the place where the employee was employed or a reduction in the number of employees doing a particular kind of work.

- 7.3 It should be noted that, for the purposes of collective consultation (see section 9 below) “redundancy” also refers to any dismissal which is for a reason not related to the individual concerned or for a number of reasons which are not so related.

## BUSINESS/SERVICE TRANSFER

- 8.1 There may be occasions when a reorganisation or restructuring will involve the transfer of services and staff to another organisation. The Transfer of Undertakings



(Protection of Employment) Regulations 2006 contain a number of legal provisions relating to the rights of employees when a business, or part of a business, transfers to a new employer. The following provisions have particular relevance in relation to redundancy:

- where a transfer occurs which is covered by the Regulations, the contracts of employment of the relevant employees, and the rights and obligations arising therefrom, will transfer to the new employer and their continuity of employment will be maintained. Employees who object to the transfer will not transfer, will be deemed to have resigned and will not, therefore, be entitled to a redundancy payment;
- any dismissal connected with the transfer will be automatically unfair unless it is for an economic, technical or organisational reason (ETO) entailing changes in the workforce (redundancy is one of the most common ETO reasons);
- employers must inform and consult with employee representatives about a forthcoming transfer. Consultation must be undertaken with a view to seeking agreement. Information must be made available in good time and long enough before the transfer to enable full and fair consultation to take place.

## COLLECTIVE REDUNDANCY CONSULTATION

- 9.1 Under the Trade Union and Labour Relations (Consolidation) Act 1992 (as amended), there is a statutory obligation to consult with the recognised trade unions/employee representatives when an employer is proposing to dismiss as redundant 20 or more employees at one establishment within a period of 90 days or less (note that employees who are dismissed in response to a request for volunteers for redundancy will count toward this total).
- 9.2 Consultation must begin in “good time” and, in any event, must commence:
- at least 30 days before the first dismissal takes effect where 20 or more employees (but less than 100) are proposed for redundancy at one establishment within a period of 90 days or less;
  - at least 90 days before the first dismissal takes effect where 100 or more employees are proposed for redundancy at one establishment within a period of 90 days or less.
- 9.3 In any event, it is the Council’s policy to enter into full and meaningful consultation with the trade unions, irrespective of the number of employees who may be proposed for redundancy.
- 9.4 Consultation must be undertaken with a view to reaching agreement with the appropriate representatives about ways to:
- avoid the proposed dismissals;
  - reduce the numbers of employees to be dismissed;
  - mitigate the consequences of the dismissals.
- 9.5 Consultation must take place in respect of any employees who may be affected by the proposed dismissals or may be affected by measures taken in connection with those dismissals. This means that the potential impact of the proposed redundancies must be considered, not solely in respect of those employees who it is proposed to dismiss but also any consequential impact, either direct or indirect, on other staff, e.g. through a reallocation of duties or other changes in working arrangements.
- 9.6 Statute does not specify a time-limit within which the consultation must be completed. This will always depend on the circumstances of each case. Whilst consultation must

start at least 30 or 90 days before any redundancy notices take effect, it is not necessary that consultation should last for all of that time.

- 9.7 Consultation should continue beyond the end of the 30 or 90 day period where it has not been completed by the end of that time.
- 9.8 Consultation must also take place with individuals who are affected by the proposed redundancies in order to ensure they fully understand the reasons for and implications of the changes and have an opportunity to consider and comment on them. This should make clear that they are at risk of redundancy, explain the basis for their selection and consider the opportunities for alternative employment. Employees are entitled to be accompanied by a trade union or workplace representative at any consultation meeting.

## 10. DISCLOSURE OF INFORMATION

- 10.1 For the purposes of the statutory consultation requirements, the Council must disclose in writing to the appropriate representatives the following information (*see Model Letter 7*):
- the reasons for the proposed redundancies;
  - the number and descriptions of employees whom it is proposed to dismiss as redundant;
  - the total number of employees of this description employed at that establishment;
  - the proposed method of selection for redundancy;
  - the proposed method of carrying out the redundancy programme, with due regard for the redundancy procedure, and including the time scale over which dismissals will take place;
  - the proposed method of calculating any non-statutory redundancy payment.
- 10.2 The information will be provided directly to the appropriate local representatives. There is no requirement that all the information has to be given to the representatives before consultation can begin.
- 10.3 Trade unions have a right to reply to the employer who should give careful consideration to their response, including any counter proposals, giving written reasons where any such alternatives are rejected. Whilst there is no requirement to reach agreement, it is important to ensure that there has been proper consideration of the relevant information and that both parties have been actively engaged in the consultation process.

## 11. STATUTORY NOTIFICATION

- 11.1 In addition to the statutory consultation requirements, as detailed above, there is also a statutory duty to notify the Secretary of State of the Department for Business, Enterprise and Regulatory Reform (there is a standard notification form, HR1, which is used for this purpose). This notification must take place before the employer gives notice to terminate an employee's contract and in accordance with the following timescales:
- at least 30 days before the first dismissal takes effect where 20 or more employees (but less than 100) are proposed for redundancy at one establishment within a period of 90 days or less;
  - at least 90 days before the first dismissal takes effect where 100 or more employees are proposed for redundancy at one establishment within a period of 90 days or less.

- 11.2 A copy of this notification must also be given to each of the relevant trade union representatives.

## 12. AVOIDING OR MINIMISING COMPULSORY REDUNDANCY

- 12.1 Where a potential redundancy situation arises the Council will consider a range of measures to seek to preserve continuity of employment for the affected staff. This will include:

- restrictions on overtime;
- restrictions on filling vacancies across the Council;
- restrictions on the use of agency workers, casual or temporary employees;
- seeking expressions of interest, without commitment on either side, in voluntary redundancy or early retirement, both from within the affected staff group and more widely across the Council where this may provide suitable redeployment opportunities (see section 13 below);
- consideration of alternative savings from non-pay budgets.

This list is not exhaustive and the Council will seek to identify alternatives wherever possible.

## 13. VOLUNTARY REDUNDANCY/EARLY RETIREMENT

- 13.1 In seeking to avoid or minimise the number of compulsory redundancies, the Council will give consideration to inviting volunteers for redundancy and/or early retirement. Whilst it is recognised that identifying volunteers to leave the organisation can help to moderate the negative impact of change, this must be balanced against the costs of redundancy/early retirement and the opportunities to do so may, therefore, be limited in practice. Any agreement to release an employee on this basis must facilitate and form part of the achievement of the objectives of the particular reorganisation and will be subject to the Council's defined approval processes. The Council reserves the right to refuse any expressions of interest which do not meet the identified criteria and/or which are not cost effective.
- 13.2 The Chief Executive or other designated officer will write to employees in the affected staff group, outlining details of the voluntary redundancy/early retirement scheme and inviting expressions of interest from those who wish to be considered (*see Model Letter 8*). Applications may also be invited from other service areas/departments where this would assist in avoiding compulsory redundancies, for example, where this would provide a suitable redeployment opportunity for "at risk" staff. Any expressions of interest will be treated in the strictest confidence and without commitment on either side. This process may be undertaken on a phased basis, as appropriate, in accordance with the overall timescales for the restructuring.
- 13.3 Any discretionary enhancements to statutory redundancy payments will be made in accordance with the Council's policy under The Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006. Continuous service for the purposes of calculating a redundancy payment will include only continuous service with bodies covered by The Redundancy Payments (Continuity of Employment in Local Government etc)(Modification) Order 1999 (as amended).
- 13.4 In accordance with its policy under the Local Government Pension Scheme (Benefits, Membership and Contributions) Regulations 2007 the Council will consider, on a case-by-case basis, the augmentation of pension benefits to eligible employees who are

members of that scheme. Augmentation of pension benefits may only be granted as an alternative to any discretionary compensation payment.

- 13.5 The costs of all redundancy payments and early payment of pension costs will be funded from departmental revenue budgets, unless specific central funds are made available for this purpose as specified by the Chief Financial Officer.

## 14. REDEPLOYMENT

- 14.1 The Council will make every possible effort to identify suitable alternative employment for staff who are displaced as a result of organisational/service restructuring and endeavour not to make any member of staff compulsorily redundant. This may include redeployment to a vacant post on the same, or one band lower with salary protection, appropriate re-training for a vacant post, career counselling, etc.
- 14.2 Where a member of staff has been unsuccessful in securing a post in their restructured department/service area, they will be notified in writing of their placement on the redeployment register (*see Model Letter 9*). This will not prevent individuals from being considered, as appropriate, for any other schemes such as early retirement or voluntary redundancy.
- 14.3 The Council will inform and consult with recognised trade union representatives before and during the redeployment of staff.
- 14.4 The Council's Redundancy Redeployment Policy and Procedure is set out in Appendix Two.

## 15. SUITABLE ALTERNATIVE EMPLOYMENT

- 15.1 Suitable refers to the place of work, terms and conditions of employment, abilities of the member of staff and the capacity in which the member of staff would be working. Suitable alternative employment shall be determined by reference to current employment legislation, and regard shall also be given to the personal circumstances of the member of staff. Staff shall, however, be expected to show some flexibility by adapting their domestic arrangements where possible, with sufficient notice.
- 15.2 It is for the Council to decide whether or not a post is deemed 'suitable' and as such qualifies for pay protection. A member of staff may appeal against this decision by using the grievance procedure, without prejudice to their statutory rights.
- 15.3 Every effort will be made by Human Resources to ensure that a member of staff on the redeployment register does not suffer a reduction in earnings. If suitable employment cannot be found, the Chief Personnel Officer will seek to place members of staff in posts outside of the original criteria in, for example, externally funded posts or fixed term project posts with partner organisations and the usual redeployment provisions will apply e.g. protection, link person contact, etc.
- 15.4 All offers of suitable alternative employment must be made in writing (*see Model Letters 10 and 11*). The offer should set out how the new employment differs from the old and be made before employment under the previous contract ends. The offer must be for the new job to start either immediately after the end of the old job, or after an interval of not more than four weeks. Additionally the letter must confirm:
- the new job title, grade and duties;
  - where appropriate, any training to be given;

- the salary (including any pay protection) and any other terms and conditions which differ from the previous contract;
  - the hours of work;
  - the location;
  - the date of commencement and end of the trial period (see section 17 below).
- 15.5 Suitable alternative employment opportunities shall be brought to the attention of the member of staff in accordance with the Council's Redundancy Redeployment Policy and Procedure. Vacancies will be advertised to those on the redeployment register before wider advertising to Council employees and then externally. If a member of staff does not apply for/register their interest in a job which would provide suitable alternative employment, or decides not to accept an offer of suitable alternative employment they may lose any entitlement to a redundancy payment. Each case will be considered on its merits by the Chief Personnel Officer, by reference to current employment legislation, the Council's redeployment policy, and the personal circumstances of the member of staff.

## 16. PAY PROTECTION

- 16.1 Where there is a reduction in salary, the relevant Council pay protection policy shall apply. For members of staff who are employed in accordance with the NJC Pay and Conditions for Local Government Services Staff (the "Green Book"), the pay protection arrangements are set out in Part 2, Section 7.2 of the Single Status Agreement.

"Where an employee, who, following consultation, is either the sole occupant of a post which is no longer required or a member of a pool of employees where a reduction in the number of employees is needed is either redeployed or appointed to and accepts a post which is more than one pay band below their current pay band and is not considered 'suitable alternative employment' by the Chief Personnel Officer, the employee's "Protected Amount" is defined as the reduction between

the value of the maximum SCP of one pay band higher than the new pay band at the date the pay band reduces and  
the value of the maximum SCP of the new pay band

In all other circumstances the employee's "Protected Amount" is defined as the reduction, at the date the pay band and/or earnings in relation to the terms and conditions detailed in Table 2.9 reduces, between their old and new "Earnings Packages" (as defined in Part 2, Section 6)

This provides that where an "at risk" employee is redeployed or appointed to a post which constitutes suitable alternative employment, up to one pay band difference in salary will be protected. The protected amount will be calculated by reference to the value of the relevant SCPs at the date the reduction in salary occurs. This pay protection will apply for a period of up to 3 years from the date of the reduction and reduces in value as the maximum of the new (lower) pay band increases.

- 16.2 For other employees, e.g. those employed in accordance with the JNC for Chief Officers Conditions of Service, Soulbury Conditions of Service etc, the pay protection arrangements shall be as set out in the relevant terms and conditions of employment (see Appendix *insert number*).
- 16.3 During the period of pay protection the Council will endeavour to secure a substantive position on the same band as that which applied to the post previously held by the employee. In addition, members of staff on a protected salary shall be expected to apply for suitable posts which arise on the pay band or salary protected during this

period or they may lose their right to protection. Each case will be considered on its merits.

## 17. TRIAL PERIOD

- 17.1 A redundant employee who is offered alternative employment under a new contract of employment with terms and conditions which differ (wholly or in part) from the corresponding provisions of the previous contract has a statutory right to a trial period (see *Model Letter 10*). The trial period will last for a period 4 weeks and will begin when the old contract expires, or after an interval of not more than 4 weeks. The purpose of the trial period is to give the employee a chance to decide whether the new job is suitable without necessarily losing any right to a redundancy payment, and for the new manager to assess their suitability and ensure they meet the required standards, taking into account any training / retraining for the new role. If, following a trial period, an employee accepts a suitable alternative job within the Council there shall be no entitlement to redundancy pay.
- 17.2 The 4 week trial period may be extended by mutual agreement for retraining purposes. Any extension must be in writing, specifying the date on which the retraining ends and setting out the terms and conditions which will apply after this date (see *Model Letter 11*). If the employee works beyond the end of the 4 week period, or any jointly agreed extended period, they will be deemed to have accepted the new employment and there will be no entitlement to any redundancy pay.
- 17.3 Should the Council wish to end the new contract within the trial period for a reason connected with the new job, the employee shall preserve the right to any redundancy payment under their old contract. If the dismissal is due to a reason unconnected with the redundancy the employee may lose that entitlement.
- 17.4 If the employee terminates the contract during the trial period, they will be treated as having been dismissed by reason of redundancy on the date when the original contract came to an end. However, if the Council considers that the new job was suitable for the employee and the employee acted unreasonably in leaving it, they will lose any entitlement to a redundancy payment.
- 17.5 The 4 week trial period may also be extended by agreement with the Chief Personnel Officer in certain other circumstances. Each case will be considered on its merits.
- 17.6 If, following a trial period, the new job is deemed to be not suitable, the employee will return to the redeployment register for any remaining period of notice under their contract of employment and other suitable alternative jobs within the Council will then be sought. An employee may have to undertake a number of trial periods in an attempt to find suitable alternative employment.

## 18. SELECTION FOR COMPULSORY REDUNDANCY

- 18.1 There may be occasions when, despite having implemented the range of measures set out in this Procedure, there is a need to undertake a selection for compulsory redundancy. This section sets out the process which must be followed in these circumstances.
- 18.2 The Council will identify and agree the “unit of selection” i.e. the group of employees from whom those who are to be made redundant will be drawn, in consultation with the recognised trade unions (see *Model Letter 12*). The unit of selection will normally comprise all members of staff who are undertaking the particular kind of work where

there is a diminishing need for employees of that type. In some circumstances employees from more than one service area/department will form the unit of selection. In considering this issue, the Council will take account of:

- the extent to which employees in other service areas/departments have identical or similar job descriptions and/or undertake similar work in practice;
- the extent to which the relevant jobs are interchangeable with others elsewhere in the Council.

18.3 Having agreed the unit of selection, the Council will, in consultation with the recognised trade unions, identify and apply appropriate selection criteria, ensuring that the criteria are fair, objective and discrimination-free (*see Model Letter 12*). The criteria will be defined according to the particular circumstances of the reorganisation/restructuring and the type of work/service area affected. The overarching objective will be the retention of a balanced workforce with the relevant skills and capabilities to meet the current and future needs of the Council.

18.4 The criteria must be precisely defined and capable of objective measurement by reference to the relevant employment records and other verifiable data, e.g. personal files, training and appraisal records, attendance/sickness absence records etc. Care should be taken to ensure that the relevant records are accurate, complete and up-to-date in respect of all those within the unit of selection. In some cases it may be necessary to obtain and/or verify the relevant information with the employees concerned. Employees may be invited to supplement the information held by the Council where that would assist the selection process, e.g. by completion of a short questionnaire.

18.5 The selection criteria will normally be chosen from the categories listed below. A definition of each of the chosen criteria will be drawn up by the relevant line/service manager, in consultation with the lead HR officer, having regard to current and future work requirements as set out in the relevant job description(s) and person specification(s) and the following guidelines.

#### **Qualifications**

The requirement for formal qualifications may be used as one selection criteria where this is relevant to and essential for the type of work to be undertaken.

#### **Performance, skills and knowledge**

The type and level of skills and knowledge necessary to perform the particular type of work should be clearly defined in specific terms. A systematic assessment of each employee within the unit of selection should be undertaken by reference to objective evidence, e.g. appraisal and other work records, skills analysis, achievement of performance targets, quality/accuracy of work, contribution to service/performance delivery and improvement, demonstrated ability and willingness to undertake a range of relevant duties.

#### **Attendance**

Attendance records should be examined over a reasonable period, e.g. 2 years, taking into account the reasons for and extent of any absences. A distinction may be drawn between periods of unauthorised and/or self-certificated absences and those which are covered by a medical certificate. Any absences related to pregnancy or childbirth or disability, as defined in the Disability Discrimination Act, should be disregarded.

#### **Disciplinary Records**

Reference should be made to the type and level of any current disciplinary warnings. In certain circumstances, it may also be appropriate to take account of any expired warnings and appropriate advice should be sought from HR where this may be under consideration.

- 18.6 A scoring matrix will be drawn up, with a defined number of points allocated to each of the identified criteria (*see example Redundancy Selection Assessment Form*). Each employee within the unit of selection will be assessed against this criteria and a total points score identified for that individual. Once all the assessments have been undertaken a rank order of the total scores will be produced for the unit of selection. This will determine which employees will remain and which will be made redundant. Scores for different criteria may be weighted according to their respective importance/relevance to future organisational/service needs. In circumstances where the scores for two or more employees are equal, those with the shorter length of service will be selected for redundancy. Length of service may only be used in these circumstances and will be based on continuous service with Hartlepool Council.
- 18.7 The criteria must be applied by more than one person and the outcomes supported by the relevant evidence and not determined by the personal opinion of those concerned. The selection will normally be undertaken by the relevant line manager for the department/service area, an independent line manager and lead HR officer. A written record of the selection process, setting out the reasons for the assessment and outcomes for each employee, must be made by those undertaking the selection.
- 18.8 Particular care must be taken to ensure that no unlawful discrimination occurs, either in the identification/definition of the relevant selection criteria and/or in the application of that criteria, i.e. on grounds of sex, race, disability, age, sexual orientation, religion or belief or part-time status. Where appropriate it may be necessary to modify or adjust the selection process to take account of the impact on the particular individual concerned, e.g. in accordance with the “reasonable adjustment” provisions of the Disability Discrimination Act 1995. Selection for redundancy for a reason related to pregnancy or childbirth, parental or other dependent care leave, or for a reason related to trade union membership/non-membership or to participation in trade union activities will be automatically unfair. The selection criteria and process must comply with the Council’s equality and diversity in employment policy.
- 18.9 Once the detail of the selection process has been agreed, the relevant employees must be informed of:
- the criteria for selection;
  - the selection process to be followed;
  - the timescales for the selection process and notification of outcomes (*see Model Letter 13*).
- 18.10 The results of the selection process should be explained orally to the individuals concerned as soon as possible after the exercise has been completed. Each employee should be advised of their assessment against the identified criteria and given an opportunity to comment on that assessment. The outcome should be confirmed in writing to each employee within 5 working days of the completion of the selection process (*see Model Letter 14*). In the case of employees selected for redundancy, notice of termination of employment should be given, as set out in section 19 below.

## 19. TERMINATION OF EMPLOYMENT

- 19.1 Employees will be notified in writing of the termination of their employment on grounds of redundancy and must be provided with the relevant statutory or contractual notice period, whichever is the longer (*see Model Letter 15*). As an alternative, payment in lieu of notice may be considered. Staff who are not successful in being redeployed or obtaining alternative employment before the end of their notice period will be made redundant at that time.



19.2 Notice of termination of employment will be issued to the relevant employees once a formal decision on the proposed reorganisation/restructuring has been taken by the Council. This will normally occur once:

- a formal decision on the relevant budget has been taken by the Council; or
- formal approval to the proposed restructuring has been given by the relevant Chief Officers; or
- approval to the proposed redundancies has been given by the Performance Portfolio Holder

whichever is the later.

19.3 The letter to the employee giving notice must include:

- the reason for the dismissal;
- any outstanding leave to be taken during the notice period;
- the date of termination of employment;
- the estimated amount of any redundancy and/or early retirement or other severance payment;
- the provision of reasonable time off to look for other work or arrange suitable training;
- their right to appeal against the dismissal and how any such appeal should be made.

19.4 Any discretionary enhancements to statutory redundancy payments will be made in accordance with the Council's policy under The Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006. Continuous service for the purposes of calculating a redundancy payment will include only continuous service with bodies covered by The Redundancy Payments (Continuity of Employment in Local Government etc)(Modification) Order 1999 (as amended).

19.5 Employees who are aged 55 and over and who are members of the Local Government Pension Scheme (50 and over for those employees who were members of the Scheme as at 31 March 2008 and who are made redundant on or before 31 March 2010) will be entitled to the immediate payment of their pension benefits where their employment is terminated on grounds of redundancy.

19.6 A retirement gratuity may be payable to eligible employees in accordance with the Council's policy. *(Appendix to be added)*

## 20. TIME OFF TO SEEK ALTERNATIVE EMPLOYMENT

20.1 During their notice period, an employee will be entitled to reasonable paid time off work in order to look for new employment outside the Council or to arrange any training for future employment. Employees should provide adequate notice to their manager of any interviews or appointments for which they are seeking paid time off.

## 21. REDUNDANCY DURING MATERNITY LEAVE

21.1 Where a redundancy situation arises whilst an employee is on a period of maternity leave, she should be treated in the same way as she would have been had she not been on such leave. This will include access to redeployment opportunities and other support services as soon as she is identified as being at risk of redundancy.

- 21.2 In addition, there are special statutory provisions which apply where an employee is prevented from returning to her original job by reason of redundancy. In these circumstances, she is entitled to be offered suitable alternative employment where such a vacancy arises before the end of her existing contract (even if she is not ready to return to work at that point). This means work which is suitable and appropriate for her, and on terms and conditions which are not substantially less favourable than those under her previous contract.
- 21.3 The right to be offered a suitable vacancy will commence when the redundancy situation is known and will continue until her employment ends, or when the maternity leave ends, whichever is the sooner. This is a mandatory duty and, if a suitable alternative vacancy exists and the employer fails to offer it to the employee or appoints someone else into that position, the dismissal will be automatically unfair if the sole or principal reason for that dismissal is redundancy.
- 21.4 Once the employee returns from maternity leave, she should be treated in accordance with this procedure, in the same way as any other “at risk” staff.
- 21.5 Any entitlements under the occupational maternity scheme will end at the termination date. However, any entitlement to statutory maternity pay will continue for the remainder of the Maternity Pay Period or until the employee starts work with any new employer. Any payments made by way of maternity pay will go towards meeting the employer's obligation in respect of notice pay and not exceed substantive salary.
- 21.6 Similar provisions to those set out above also apply to any employee who is on a period of adoption leave.

## **22. APPEALS**

- 22.1 Any member of staff who feels that any part of this procedure has been unfairly applied in their case should raise their concerns in writing with the Chief Personnel Officer, normally within five working days of the date of having received notification of a decision. There are very clear and tight deadlines surrounding the process of dealing with “at risk” posts and redeployment which mean that, in these particular circumstances, any concerns must be dealt with as quickly as possible.
- 22.2 The Chief Personnel Officer will arrange for the employee's concerns to be considered by a senior manager within the employing department. The employee will be invited to a meeting with the relevant manager, together with the designated lead manager for the particular restructuring and the lead HR Officer. The employee may be accompanied at that meeting by either a trade union or workplace representative. This meeting will normally take place within five working days of the Chief Personnel Officer having received written notification of the employee's concerns.
- 22.3 The senior manager will notify the employee in writing of their decision within five working days of the meeting. If the employee remains dissatisfied with the outcome, they should notify the Chief Personnel Officer within five working days of their receipt of the senior manager's decision, setting out the reasons for their appeal. The Chief Personnel Officer will arrange for the appeal to be considered by a Director or the Chief Executive, as appropriate (in the case of a Chief Officer, any appeal will be heard by the General Purposes (Appeals & Staffing) Committee).
- 22.4 The employee will be invited to a meeting with the relevant Director/Chief Executive (or panel of Members), as appropriate, together with the senior manager who took the original decision and the lead HR Officer. The employee may be accompanied at that meeting by either a trade union or workplace representative. This meeting will normally

take place within five working days of the Chief Personnel Officer having received written notification of the employee's wish to appeal.

- 22.5 The Director/Chief Executive will notify the employee in writing of their decision within five working days of the meeting. This decision will be final and there will be no further right of appeal.
- 22.6 Where a member of staff feels that they have been unfairly dismissed, by reason of redundancy, they have the right of appeal. The employee should write to the Chief Personnel Officer within ten working days of their receipt of the written confirmation of the termination of their employment, setting out their grounds for appeal. The appeal will be heard by the General Purposes (Appeals and Staffing) Committee of the Council. The hearing will normally take place within twenty working days of the receipt of the employee's letter of appeal. The procedure to be followed will be as set out in the Council's Redundancy Dismissals Appeals Procedure, a copy of which is set out in Appendix *insert number*. The redundancy notice shall not be suspended during the appeal process, but shall be revoked if the appeal is successful.
- 22.7 Appeals against any pension decision made under this procedure will be managed in accordance with the Teesside Pension Fund Internal Dispute Resolution Procedure.

## **Appendix One: Framework for Consultation on Changes to Staffing Establishments**

The following sets out the steps to be followed when a team, service area, or department is to be restructured. Normally, this will be based on two formal consultative meetings with staff. However, further additional meetings may be arranged where this is considered necessary and helpful to the change process.

Where the area affected is small, i.e. less than 30 employees, it should be possible to consult with all the staff group together. Workplace meetings should take place at suitable times, taking account of part-time and other flexible working patterns.

### **Step 1**

The manager should meet with the whole staff group, accompanied by an appropriate HR representative and recognised trade union representative and detail:

- the reasons for the proposed restructuring and the intended outcomes. Where appropriate, this should be set within the context of any wider changes and other restructurings;
- any assumptions made about performance/productivity/work demands/activity levels and the data/information which led to these assumptions;
- if relevant, any actions to avoid or limit the need for redundancies, e.g. reductions in overtime, restrictions on recruitment, early retirement etc;
- the fact that no decisions have been made and this is a consultation process to actively and positively involve staff in the restructuring process and find out their views.

The manager should set out the proposed structure(s) and/or required changes. This may include an evaluation of alternative options in terms of their respective pro's and con's against identified criteria, e.g.

- successful delivery of outcomes;
- potential disruption of service delivery and longer term impact on service provision;
- impact on other service areas;
- financial cost;
- impact on staff group (every effort should be made to minimise the need to place staff in a redundancy position).

This is not an exhaustive list and other criteria may be applied, which should be jointly agreed/developed wherever possible.

During the meeting staff should be given the opportunity to comment on any data/information and challenge any assumptions made. Such comments should be addressed and considered carefully by management.

The meeting should be fully noted with any comments, challenges, and suggestions fully recorded with management responses. Where the manager agrees to look into issues raised, this should be actioned as soon as practicable following the meeting.

The meeting should end with staff being asked to consider the proposals for change and the outcomes required. The manager should stress that final decisions have not yet been made and that this is a consultation process, in which staff have a real opportunity to determine and influence what will happen.

Confirmation of the proposed changes should subsequently be provided to staff in writing and a further meeting arranged in order to give further consideration to their views and any alternative proposals for a new structure (*see Model Letter 2*). Staff should also be offered the opportunity of a follow-up meeting with the manager and/or HR representative on an individual basis in order to address any particular worries or concerns.

Written information must be sent to any absent staff i.e. staff who are absent due to sickness, annual leave, maternity or adoption leave or secondment.

## Step 2

This meeting should include the same membership as at Step 1.

The manager should:

- summarise the information provided at the Step 1 meeting, reiterating the consultative process so far and describing any changes which have been made in line with staff views/suggestions or proposals progressed;
- detail any staff comments or proposals received since the Step 1 meeting and any management response;
- report on any management action since the Step 1 meeting with outcomes and seek comments;
- discuss the options for restructuring and seek to agree which one best meets the required outcomes, taking into account any other issues and broader service/organisational context;
- if agreement is not possible, confirm the preferred option from the management point of view and why. Seek comments on this preference and the underpinning rationale.

The meeting should conclude with all being made clear about which structure will be implemented, why it will be adopted, the likely timescale and processes for implementation.

A further meeting may be needed to address the implementation arrangements, e.g. selection and appointment to the new posts, redeployment process etc.

Group and individual meetings with members of Human Resources should then be arranged to go through such arrangements with timescales, including the specific consequences for individuals. These subsequent meetings like all previous ones should be fully recorded and outcomes followed up in writing.

The manager should provide written confirmation of the outcomes from the Step 2 meeting to all staff (*see Model Letter 3*). Written information must be sent to any staff who are absent due to sickness, annual leave, maternity or adoption leave or secondment.

### Large teams of staff or large area of service

Where the affected functional team or area of service is large then it will be necessary to split the teams into smaller groups to progress the consultation as detailed above. This may include establishing a specific, over-arching consultative group with representatives from all the teams affected and the relevant recognised trade union representatives. In these circumstances, the manager should arrange large “update meetings” of the whole staff group, as appropriate, to ensure that all staff affected are aware of the consultative process, how they will be involved, and who their representative is.

The over-arching consultative group will pull together and co-ordinate the views of each team and will develop their preferred options for all the teams to consider, both in their small groups and at any larger meetings.

Written information must be sent to any staff who are absent due to sickness, annual leave, maternity or adoption leave or secondment.

### General

Formal meetings between management and the recognised trade unions will also be held in addition to the consultation process detailed above, as necessary. Where redundancies are proposed as part of the planned changes, managers must ensure that the statutory consultation requirements are complied with.

## **Appendix Two: Redundancy Redeployment Policy and Procedure**

### **1. Aim**

- 1.1 The aim of this policy is, wherever possible, to enable employees who have been displaced as a result of organisational/service restructuring to be redeployed to other employment within the Council, thereby retaining valuable/valued skills, knowledge and experience.

### **2. Principles**

- 2.1 The following general principles will apply under this policy and procedure:
- redeployment will be dealt with in a way that is non-discriminatory and in accordance with the Council's equality and diversity in employment policy;
  - the redeployment procedure will be fairly and consistently applied across the Council;
  - regular and open communication between managers and employees will be encouraged and promoted;
  - employees will be made fully aware of the pay (including protection, where appropriate) and pension implications of any redeployment offered;
  - employees will be offered appropriate training and support to aid them during the redeployment process;
  - trial periods will be used to ensure that the redeployment is suitable to both the Council and the employee;
  - a trade union, other workplace representative or work colleague may accompany the employee during any meeting held under this Redeployment Policy;
  - the pursuit of redeployment opportunities will be time limited, with reviews undertaken at specified intervals during the redeployment period;
  - there is no entitlement under this policy for employees to be redeployed beyond the duration of their existing contract of employment;
  - satisfactory clearance via Safer Workforce regulations will be required for employees who are being redeployed into areas of work where this is a normal pre-requisite of employment;
  - priority consideration will be given to "at risk" staff in respect of any post at the same or lower grade as their existing post and which would potentially provide suitable alternative employment for them;
  - where two or more redeployees are being considered for the same job, a robust selection process will be used, taking into account, where appropriate, all reasonable adjustments and training/retraining needs;
  - this redeployment policy and procedure will be monitored and reviewed to ensure that it continues to meet the Council's aims and complies with these principles. Staff and trade union representatives will be encouraged to be involved in this process.

### **3. Eligibility**

- 3.1 This policy and procedure will apply to employees who have been unsuccessful in obtaining a post in a staffing reorganisation and have thus been identified as at risk of redundancy.

- 3.2 Nothing in this policy prevents an employee from applying for another job with the Council through the usual recruitment and selection process, and they are encouraged to do so.

#### **4. Employee Responsibilities**

- 4.1 Employees will be expected to:

- actively engage in the redeployment process;
- maintain contact and communicate effectively with his/her management and Redeployment Link Person;
- undertake any support or training/retraining, which may aid his/her redeployment;
- attend any review meetings, as appropriate.

#### **5. Manager Responsibilities**

- 5.1 Managers will be expected to:

- ensure that every effort is made to place members of staff in alternative posts;
- ensure that all staff and supervisors are aware of the redeployment policy and comply with its provisions;
- provide guidance, assistance, training and induction to redeployed employees, including those on trial periods;
- liaise with HR (Workforce Development) and well-being teams regarding any training needs/reasonable adjustments for redeployees;
- monitor the performance and progress of redeployees during the trial period, providing counselling/action plans/support and completing assessment reports, as appropriate;
- notify Human Resources of all vacancies, temporary posts or other work opportunities assist in redeploying/utilising “at risk” staff.

#### **6. Support available to Managers and Employees**

- 6.1 In order to support this policy, the following are available to managers and employees:

- Employee Support Service – to provide a confidential service to employees in order to discuss concerns related to the redeployment process;
- HR Services – to provide support and guidance to managers and employees in the use of the redeployment procedure and to provide a redeployment link to the employee during the redeployment period;
- HR (Workforce Development) – to provide training in relation to applying for jobs and specific job-related skills;
- Disability Employment Advisor/Disability Service Teams – to provide an assessment of disabled people and to assist with maintaining disabled employees in work including assisting with and accessing funding (where appropriate);
- Disability charities – to provide an assessment of disabled people and to assist with maintaining disabled employees in work including assisting with funding (where appropriate).

- 6.2 Appropriate assistance in completing application forms and preparing CVs, advice on interview and other job search techniques can also be provided by HR, on request.

#### **7. Redeployment Link Person**

- 7.1 Redeployees will be provided with the name of a specific link person in HR (known in this procedure as the “Redeployment Link Person”) who will act as his/her formal contact during the redeployment process.

- 7.2 The Redeployment Link Person will undertake the initial redeployment assessment, monitor and advise of vacancies for redeployment opportunities and provide advice and support during the process.

## **8. Redeployment Meeting**

- 8.1 Following the initial notification to the employee that they are at risk of redundancy and their placement on the redeployment register, a meeting will be arranged between the employee, his/her representative (if appropriate), his/her line manager (if appropriate) and the Redeployment Link Person.
- 8.2 The purpose of the meeting will be to explain to the employee:
- how the Council's Redundancy Redeployment Policy and Procedure works;
  - what support mechanisms and training opportunities may be available during the redundancy redeployment period;
  - entitlements to, and arrangements for taking, paid time off to look for work or to make arrangements for training for another job;
  - the period during which redeployment will be pursued; and
  - the implications of redeployment being unsuccessful.
- 8.3 The employee will also be provided with a copy of the Redundancy Redeployment Policy and Procedure. At the meeting, the employee will be provided with the opportunity to ask any questions regarding the procedure and give his/her thoughts and views on pursuing redeployment.

## **9. Redeployment Assessment**

- 9.1 The employee will be offered the opportunity of a confidential assessment in order to identify his/her skills and experience, the redeployment options that may be suitable and the support and training that may be required. The confidential assessment will include, as appropriate, the employee, his/her representative, management, Redeployment Link Person etc. Where appropriate, tests and an assessment of skills will be provided, e.g. IT skills.

## **10. Redeployment Register**

- 10.1 A central register will be maintained by Human Resources, with restricted access controls to maintain confidentiality. The register will hold the following information on each individual:
- date registered;
  - name;
  - details of current job;
  - contact details;
  - details of employment history with the Council;
  - qualifications, skills, training record and work experience;
  - evidence of performance (from appraisal records);
  - medical and/or DDA information including any reasonable adjustments that may be required (if appropriate);
  - any other information relevant to the redeployment process.

## **11. Work Experience and Training**

- 11.1 Whilst redeployment is pursued the employee may be helped to gain experience of different job opportunities within the Council or to develop specific skills. During this period the Council will attempt to find appropriate work experience opportunities or training suitable to the employee and which may aid his/her redeployment opportunities. This may include:



- undertaking different work within their current service area or other part of the Council; and/or
  - undertaking a period of secondment to a specific project or working party; and/or
  - attending appropriate training and development opportunities.
- 11.2 Employees will be expected to undertake such work experience and training unless they provide an acceptable reason for not doing so. These opportunities will be temporary placements and there can be no guarantee that they will become a permanent redeployment opportunity.
- 11.3 Managers will be expected to inform the Chief Personnel Officer at the earliest opportunity of any such temporary redeployment opportunities, e.g. to assist in undertaking a review, with the development of a new initiative, or provide cover for maternity leave or sickness absence. Managers cannot employ additional temporary staff in these circumstances until consideration of employees awaiting redeployment has first taken place.

## **12. Jobs Covered by the Redeployment Procedure**

- 12.1 The support and guidance available to an employee under this procedure will apply to any job vacancy within the Council, regardless of the level of responsibility or contractual status of the job.

## **13. Redeployment Period and Reviews**

- 13.1 The pursuit of redeployment opportunities will normally continue until a suitable alternative job is identified and accepted by the employee or the date on which the employee's contract of employment is due to come to an end, whichever is the earlier.
- 13.2 A review of progress on redeployment should take place at least every two weeks during the redeployment period. A meeting should take place involving the employee, his/her representative, the Redeployment Link Person and the line manager. The purpose of the meeting will be to discuss the actions the employee and the Council have taken during the period, whether there are other options such as training, support or different types of jobs that could be pursued and any further action that should be taken.

## **14. Pay and Pension Implications**

- 14.1 Until such time as an employee is redeployed, he/she will continue to be paid in accordance with his/her contract of employment.
- 14.2 Decisions about whether or not to protect an employee's salary following redeployment will be made by the Chief Personnel Officer in accordance with the relevant Council Pay Protection Policy (see section 16 of the main procedure).
- 14.3 Where the pay (without protection) of an employee in the Local Government Pension Scheme is reduced, the Chief Personnel Officer, in accordance with the Pension regulations, will determine that the reduction in pay is 'material' i.e. pensionable pay.
- 14.4 Where the reduction in pay is 'material', the employee has two options available as follows (see *Model Letter 16*):
- To preserve the accrued benefits at the time the reduction takes place and accrue a new set of benefits in respect of the new contract; or
  - Do nothing, in which case pension benefits will be based on the employee's final pay. Benefits can be calculated on one of the two previous years' pay if better and, if the employee is downgraded or moves to a job with less responsibility in the last 10 years, the employee has the option to have his/her benefits based on

the average of any 3 consecutive years in the last 10 years (ending on a 31 March).

- 14.5 Where the employee chooses to preserve the benefit already accrued and accrue a new set of benefits in respect of the lower paid post, the employee must leave the Teesside Pension Fund in respect of the old post and rejoin in respect of the new post.
- 14.6 Where it is decided that the reduction in pay is not material, membership of the Teesside Pension Scheme will continue and pension benefits will be based on the best level of earnings in the 3 years immediately prior to retirement.

## **15. Redeployment Application Process**

- 15.1 The employee will be required to complete a generic Application for Redeployment Opportunity Form (see Appendix *insert number*) setting out details of his/her employment history, skills/abilities (to be assessed as appropriate), qualifications, previous training/professional development, and other experience. This will be kept on file and used by appointing officers to determine whether the employee might be suitable for each redeployment opportunity considered. In addition, the employee may produce a statement or covering letter, tailoring the details outlined on the application form to reflect the needs of the specific redeployment opportunity being considered. The employee will be provided with support and guidance during the redeployment period to enable them to complete the generic application form, together with appropriate pre-redeployment training to help tailor this to specific opportunities that may arise.
- 15.2 All current vacancies will be monitored by the Human Resources Division to identify potential opportunities for employees who are pursuing redeployment under the Redundancy Redeployment Procedure. Where an opportunity is identified, the Redeployment Link Person will notify the relevant employee(s) who are pursuing redeployment.
- 15.3 In addition, a copy of the Council's Vacancy Bulletin will be forwarded to employees who are pursuing redeployment. If the employee identifies a job vacancy that he/she is interested in he/she should inform his/her Redeployment Link Person so that further information (e.g. job description and person specification) can be sent to them. The employee must identify any new and additional information relevant to the vacancy.
- 15.4 The Redeployment Link Person will forward the employee's details to the appointing officer within two days of being notified of their interest in the vacancy.
- 15.5 The appointing officer will consider the employee's details in relation to how the employee meets the job requirements and whether the job would be a suitable alternative. When considering suitability, the appointing officer will also identify whether any additional training or support could reasonably be offered and/or any reasonable adjustments could be made to enable the employee to meet the requirements of the job within a reasonable timescale. The appointing officer must seek advice and guidance from HR when coming to a decision about the suitability of the employee.
- 15.6 All redeployees who meet the essential criteria on the person specification for a job, taking into account any training/retraining or other support/adjustment, must be interviewed for a post which is considered to be suitable alternative employment. Redeployees applying for a post at the same or lower grade as their current post will be given priority consideration ahead of any other redeployees. Where there is more than one redeployee expressing interest in the same job, the appointing officer will undertake a selection process in order to determine who is most suitable.
- 15.7 The appointing officer will contact the employee and his/her Redeployment Link Person to inform them of his/her decision and will confirm this in writing (see *Model Letter 17*). If the employee is unsuccessful, the appointing officer should explain the reasons for

the decision. A written record of the decision and reasons for this will also be kept by Human Resources.

## **16. Job Offers**

- 16.1 Full details and implications of the terms and conditions of the new post (including the terms and conditions, and duration of, any trial period – see section 17 of the main procedure) shall be provided to the employee in advance of any acceptance of the post and take up of duties. This will include details of decisions made in respect of pay (and where appropriate protection) and any pension implications associated with the new post. All job offers and acceptances shall be confirmed in writing.
- 16.2 Where an employee is offered a post on the basis that they have the realistic potential to fulfil the requirements of the job with further training and development, they will be required, as a condition of employment, to successfully achieve the necessary qualification and/or skills and/or experience within the agreed timescale.
- 16.3 The employee should agree a starting date with the appointing officer and his/her current line manager.
- 16.4 Where appropriate, a meeting involving the employee, his/her representative, the previous and new line manager and the Redeployment Link Person shall be arranged to discuss the handover arrangements.
- 16.5 Where a redeployee is appointed to an alternative post, they will be entitled to a trial period, normally of not more than four calendar weeks, although this may be extended for the purposes of re-training (see section 17 of the main procedure). If the trial period is unsuccessful, the employee shall return to his/her substantive post for the remaining period of their contract of employment.
- 16.6 During the first three months of employment in the new job, the employee, his/her representative (if applicable), the previous and new line manager and the Redeployment Link Person should meet every four weeks to review the employee's progress. If any concerns are raised these will need to be considered and decisions should be made regarding what further steps to take.
- 16.7 If any additional training or support is required to enable the employee to become fully accustomed to his/her new job this should, where possible, be arranged within the three month period.

## **17. Funding Arrangements**

- 17.1 All redeployment costs will be funded from departmental revenue budgets, unless specific central funds are available for this purpose, as specified by the Chief Financial Officer. Where central funds are not available to fund redeployments, the funding arrangements shall be as follows:
  - The transferring department funds all costs of protection, (where this applies, including during trial periods), arising from the application of the Council's Pay Protection Policy. Where a whole service is closed, such costs should be dealt with as a cost of closure;
  - The receiving department funds all training costs unless there are substantial additional training costs arising from a change of career or department, in which case these costs should be met by the transferring department;
  - The costs associated with trial periods (except the costs of pay protection – see above) shall be shared equally between the receiving and transferring departments unless the trial period exceeds 2 months, in which case the funding of the trial period beyond 2 months will be dealt with on an individual basis;

- The receiving department funds all other costs associated with the new member of staff;
- The apportionment of costs set out above may be varied providing both departments agree.

## **FINANCE AND PERFORMANCE PORTFOLIO**

**Report to Portfolio Holder  
6<sup>th</sup> October 2009**



**Report of:** Chief Personnel Officer

**Subject:** CHRISTMAS AND NEW YEAR  
ARRANGEMENTS

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### **SUMMARY**

#### **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 2009/10.

#### **2. SUMMARY OF CONTENTS**

- 2.1 The report advises that in previous years this Council has 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 MEMBER**

- 3.1 Corporate significance.

#### **4. TYPE OF DECISION**

- 4.1 Non-key decision.

#### **5. DECISION MAKING ROUTE**

- 5.1 Portfolio Holder only.

#### **6. DECISION(S) REQUIRED**

- 6.1 That most of the main administrative buildings be closed between Christmas 2009 and New Year 2010 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).

**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 2009/10.

## **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 2009/10**

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

Normal working day	Thursday 24 December
Christmas Day	Friday 25 December
Boxing Day	Monday 28 December
Normal working day	Tuesday 29 December
Normal working day	Wednesday 30 December
Normal working day	Thursday 31 December
New Years Day	Friday 1 January 2010
Normal working day	Monday 4 January 2010

- 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 year's practice were followed then most of the main administrative buildings would close on these days.

**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 2009/10 as set out in this report.

**6. RECOMMENDATION**

- 6.1 That most of the main administrative buildings be closed between Christmas 2009 and New Year 2010 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).

## **FINANCE AND PERFORMANCE PORTFOLIO**

Report to Portfolio Holder

6<sup>th</sup> October 2009



Report of: Head of Procurement, Property and Public Protection

Subject: POSTAL SERVICES

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### **SUMMARY**

#### **1. PURPOSE OF REPORT**

To recommend the process of mini-competition to appoint a postal services provider.

#### **2. SUMMARY OF CONTENTS**

As part of the Scrutiny Co-ordinating Committee a request was made to review the procurement options for the provision of postal services. This report outlines the proposed process to formalise the arrangements by undertaking a mini-tendering competition.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

Falls within the remit of The Portfolio Holder as Procurement Champion.

#### **4. TYPE OF DECISION**

Non Key.

#### **5. DECISION MAKING ROUTE**

Finance and Performance Portfolio Holder meeting on 6<sup>th</sup> October 2009

#### **6. DECISION(S) REQUIRED**

That Portfolio Holder approves the mini-tendering competition proposed.



Report of: Head of Procurement, Property and Public Protection

Subject: POSTAL SERVICES – APPOINTING AN  
ALTERNATIVE PROVIDER

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## **1. PURPOSE OF REPORT**

- 1.1 To update the Portfolio Holder on the process to appoint a mail provider.

## **2. BACKGROUND**

- 2.1 As part of a recent Scrutiny Co-ordinating Committee a request was made to review the various procurement options available for the provision of an alternative mail provider. As part of this review the Central Services Manager and a representative from the Procurement Unit examined the OGC (Office of Government Commerce) Framework Contract for Postal Services. As part of this exercise meetings were arranged with UK Mail, TNT and Royal Mail, these companies being the ones which covered the Authorities requirements. A trial was arranged with the TNT as this was the company who offered the best value in terms of prices, processes, etc., Royal Mail do still provide the delivery services to the Civic Centre in terms of dropping off mail and some bulk mailing.

## **3. OPTIONS FOR IMPROVING VALUE FOR MONEY**

- 3.1 Since using TNT the Authority has made approximately £4k in savings, the actual process of collating post, etc., has been streamlined which has ultimately reduces the time taken in dealing with post; therefore, staff are free to undertake other tasks. The Authority has moved away from first class post and Departments now also use a standard size of envelope and are discouraged in using envelopes for internal post where appropriate e.g. confidential post.
- 3.2 In order to formalise an arrangement with a postal provider it is proposed to undertake a mini tendering exercise (mini-competition) between the three providers who can fulfil the various postal services the Authority requires. The contract will be awarded on a price / performance ratio of 40:60.
- 3.3 The Central Services Manager has gathered together a group of officers to represent each department to form a Working Group to participate in the exercise. The process will involve meeting with the three providers TNT, UK Mail and Royal Mail to advise on the process

of the mini competition, the timescales involved and the Authority's expectations.

#### **4 RECOMMENDATIONS**

- 4.1 That Portfolio Holder approves the mini-tendering competition proposed.

#### **5. CONTACT OFFICER**

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## **FINANCE AND PERFORMANCE PORTFOLIO**

Report to Portfolio Holder

6<sup>th</sup> October 2009



**Report of:** Head of Procurement, Property and Public Protection

**Subject:** TEES VALLEY AGENCY WORKERS CONTRACT

---

### **SUMMARY**

#### **1. PURPOSE OF REPORT**

To recommend the use of the Tees Valley Contract for the supply of agency staff.

#### **2. SUMMARY OF CONTENTS**

The Tees Valley Agency Contract which commenced in April 2009, is a four year framework with an option to extend for a further two 12 month periods. Stockton and Darlington Borough Council undertook the administration of the tendering process and all companies currently used by Hartlepool B.C. were given the opportunity to tender (a list of successful companies is attached at **Appendix A**).

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

Falls within the remit of The Portfolio Holder as Procurement Champion.

#### **4. TYPE OF DECISION**

Non Key.

#### **5. DECISION MAKING ROUTE**

Finance and Performance Portfolio Holder meeting on 6<sup>th</sup> October 2009

**6. DECISION(S) REQUIRED**

That Portfolio Holder approves the use of the new contract immediately with Departments to operate this contract in the same manner as the current arrangement until the 'internal shared services unit' is established to undertake this function.

**Report of:** Head of Procurement, Property and Public Protection

**Subject:** TEES VALLEY AGENCY WORKERS CONTRACT

---

## 1. PURPOSE OF REPORT

To recommend the use of the Tees Valley Contract for the supply of agency staff.

## 2. BACKGROUND

2.1 The Tees Valley Agency Contract which commenced in April 2009, is a four year framework with an option to extend for a further two 12 month periods. Stockton and Darlington Borough Council undertook the administration of the tendering process and all companies currently used by Hartlepool B.C. were given the opportunity to tender (a list of successful companies is attached at **Appendix A**).

2.2 The contract encompasses both blue and white collar workers and includes the following 'categories':

- accountancy and finance
- administration and clerical
- human resources
- Information and Communication Technology (ICT)
- leisure and hospitality
- technical services (highways, engineering and construction)
- asbestos removal services
- trade workers
- refuse, park and building cleansing
- children and education
- social care and health

2.3 By agreeing the use of this contract the Council would gain the following benefits:-

- Agreed rates of commission with agencies
- Agreed terms and conditions with agencies
- A performance rating system based on cost and performance to incentivize agencies
- A source of management information about agency usage

- 2.4 An alternative option available to the Authority is to use the NEPO Agency Contract. This contract is a vendor neutral managed service which acts as a sourcing agent to the local Authority and was awarded to Comensura. As part of this arrangement LA's are required to share a proportion of any savings with Comensura. This mechanism is fairly complicated and would require close monitoring.
- 2.5 A benchmarking exercise has revealed that this alternative would not provide Hartlepool with best value, in terms of both costs and locality of suppliers.

### **3. OPTIONS FOR IMPROVING VALUE FOR MONEY**

- 3.1 The Procurement Team has undertaken an analysis of the new rates against current agency rates and there is potential for significant cost reductions, details of which are provided in **Appendix B**.
- 3.2 Darlington and Stockton Borough Council have recently held quarterly review meetings with suppliers and the feedback received was very positive, both Councils have also reported an approximate £10k per month reduction on agency spend.
- 3.3 In order to realise such reductions and to adopt a change of culture with regard to the use of agency staff, changes are needed to the current method of engaging agency workers
- 3.4 To review the options available with regard to the administration of the new contract the Strategic Procurement Manager met with the Chief Personnel Officer to consider the options for delivering the contract.
- 3.5 Due to fact the process of procuring agency staff is fundamentally transactional it is considered that this function would ideally be placed within the internal shared services unit which was outlined in the Cabinet Report of 24<sup>th</sup> September 2009. This would assist in maintaining a consistency in the process undertaken as well maximising efficiencies.

#### **Current Process pre-'Internal Shared Services Unit'**

- 3.6 Until the Shared Services Unit is established later within the Business Transformation process it is suggested that the contract detail should be disseminated to managers within the Authority to call off their own arrangements but still using the consistent approach that the contract provides.

In this interim period it is accepted that managers must be provided with additional guidance and training so they become better informed when engaging agency workers in order achieve best value from the contract.

#### **4 RECOMMENDATIONS**

That Portfolio Holder approves the use of the new contract immediately with Departments to operate this contract in the same manner as the current arrangement until the 'internal shared services unit' is established to undertake this function.

#### **5. CONTACT OFFICER**

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## Tees Valley Agency Contractors

## 2.7 Appendix A

Sub - Regional

Regional

A J Social Care, Castleford	Manpower, Newcastle
Adecco Uk Ltd, Middlesbrough	Morgan Hunt, Newcastle
Allied Health Care, Staffordshire	Northern Recruitment Group Plc, Middlesbrough
Angel Human Resources plc, Darlington	Office Angels, Middlesbrough
Beresford Blake & Thomas, London	Pertemps Recruitment Partnership Limited, Newcastle
Blue Arrow Ltd, Luton	Pin Point Recruitment, Newcastle
Bluecare, London	Primary Care Recruitment, Gateshead
Brook Street, Newcastle	Primetime Recruitment, Middlesbrough (Hartlepool Office)
Capita, London	Reed Social Care, Newcastle
CDM Recruitment Ltd, Newcastle	Reliance Care, London
Confident Choice Professional Services, North Shields	RIG Social Care, North Yorkshire
Corepeople Recruitment Ltd, Durham	RMS Recruitment Ltd, Durham
Drake, London	Sanctuary Personnel
Driver Hire Teesside, Middlesbrough	Serving the Nation, London
Dutton International Ltd, Eaglescliffe	Spring Personnel Ltd - Tees Valley, Darlington
Eden Brown, Manchester	Steria, Manchester
Flagstaff Services Ltd, Sunderland	Steve Thurston Consultants, Durham
Hays Specialist Recruitment Ltd, Middlesbrough	SWIS, Dunfermline
HCL RS Social Care, North Yorkshire	Synabor, London
Hill McGlynn Associates, Newcastle	Synergy Group, Leeds
Interlet Ltd t/a 247 Staff, Darlington	TABS Recruitment, Stockton
Jark Industrial, West Yorkshire	Temp Recruitment Ltd, Stockton
Jo Hand Recruitment, Middlesbrough	TEMP-TEAM Limited, Durham
Kenzell Ltd t/a 247 Staff Darlington, Darlington	Tradelink Asbestos Services Ltd, Cheshire
Manning Limited, Stockton	Work Matters, Hartlepool



## Tees Valley Agency Contractors

### Details Comparing Current Agency Arrangements to New Tees Valley Contract

Post / Job Role	Expenditure under existing arrangements	Expenditure under new arrangements	Reduction in cost £	Reduction in cost %
Refuse / Cleansing and Grounds Maintenance	298,015.00	238,412.00	59,603.00	20
Grounds Maintenance / Nursery Assistants	171,505.00	154,354.50	17,150.50	10
Technical Officers	35,779.00	32,916.68	2,862.32	8
Solicitor	121,883.47	97,506.78	24,376.69	20
Social Worker	161,738.98	145,565.08	16,173.90	10
Finance / Benefits	204,255.00	200,169.90	4,085.10	2
Finance	25,700.00	23,644.00	2,056.00	8

## **FINANCE & PERFORMANCE MANAGEMENT PORTFOLIO**

Report to Portfolio Holder  
6 October 2009



**Report of:** Chief Personnel Officer

**Subject:** EMPLOYEE SURVEY 2009

---

### SUMMARY

#### **1 PURPOSE OF REPORT**

- 1.1 To obtain the Portfolio Holder's endorsement of the 2009 Employee Survey and Action Plan.

#### **2 SUMMARY OF CONTENTS**

- 2.1 The report provides details of the 2009 Employee Survey and Action Plan.

#### **3 RELEVANCE TO PORTFOLIO MEMBER**

- 3.1 Corporate Performance

#### **4 TYPE OF DECISION**

- 4.1 This is not a key decision.

#### **5 DECISION MAKING ROUTE**

- 5.1 Portfolio Holder only.

#### **6 DECISION(S) REQUIRED**

- 6.1 To note the Employee Survey results and endorse the action plan.

**Report of:** Chief Personnel Officer

**Subject:** EMPLOYEE SURVEY 2009

---

**1. PURPOSE OF REPORT**

- 1.1 To obtain the Portfolio Holder's endorsement of the 2009 Employee Survey Action Plan.

**2. BACKGROUND**

- 2.1 The Employee Survey was carried out in February – March 2009. It followed similar surveys in 2002, 2004 and 2005.

- 2.2 The survey included questions on:

- Attitudes towards the council as an employer, internal communications, team working, health, safety and welfare, the appraisal process, training, leadership and change, business transformation.
- Awareness of the Whistle Blowing Procedure.
- The extent of appraisals and follow-up training reviews.
- Changes in workload and the amount of extra time worked to meet demands.
- The use of family friendly arrangements and changes in working arrangements.
- Levels of unfair treatment (discrimination, victimisation, harassment and bullying), violence and aggression in the workplace.

- 2.3 Employees had the option to undertake the survey via the e-consultation system or by completing a paper based questionnaire.

- 2.4 A total of 1,197 completed questionnaires were received, giving an overall response rate of 40%, compared to a response rate of 30% in 2005.

**3. THE FINDINGS**

- 3.1 The completed surveys were analysed externally and a report of the findings was produced (**Appendix 1**).

- 3.2 In response to the findings, an action plan to address the areas for improvement has been produced (**Appendix 2**). The actions within this plan will be loaded onto and monitored using Covalent.

#### **4. RECOMMENDATIONS**

- 4.1 That the Portfolio Holder notes the Employee Survey results and endorse the action plan.

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## **3.1 Appendix 1**

### **CORPORATE STRATEGY**



**HARTLEPOOL**  
BOROUGH COUNCIL

## **Employee Survey 2009**

**David M. Allen**

**May 2009**

## EXECUTIVE SUMMARY

### BACKGROUND

- All employees received the 2009 Employee Survey.
- 1,197 questionnaires were completed, giving a response rate of 40%; better than in 2005 (30%) and more in line with the surveys undertaken in 2002 (45%) and 2004 (47%).

### A GOOD EMPLOYER

- Ensuring the support of managers and supervisors (86%); providing the right equipment and facilities to do the job (85%), and valuing employees (85%) were the three factors employees were most likely to rate 'very important' in a 'good' employer.
- Once again, employees were most likely to think the council was actually 'very good' at having flexible arrangements for people with outside commitments (34%) and giving employees the chance to do training and improvement of skills (32%).
- The biggest 'performance gaps' were in respect of how well the council makes employees feel valued, and listens to what they have to say and takes it into account. Ensuring employees are supported by their managers/supervisors and giving them the right equipment and facilities to do their job well, the two factors that matter most, also showed room for improvement in the eyes of employees.
- At least seven out of ten employees continued to agree that the council is a good employer (75%) and that they would recommend it to other people as a place to work (71%). Rather less agreed that the pay structure is fair and equal to all employees (58%) and that they had sufficient opportunity to question managers about change at work (57%).

### INTERNAL COMMUNICATIONS

- Team or section meetings (74%) remained top of the list of 'useful' communication methods. The intranet was considered second most useful (72%), followed by Hartbeat (69%), departmental briefings (66%), and Newslite (65%).
- A majority (52%) of employees read most of the Newslite newsletter. However, more people this time around, said they read only some of it (40%). The number that don't read it at all remained largely unchanged (8%).
- Three quarters of employees (77%) continued to understand how their work contributes to the overall aims and objectives of the council. Two thirds (66%) agreed that if they wanted to put forward new ideas or suggestions for improvement they knew how to do so.
- Only half of employees (50%) agreed they generally felt well informed about what is happening in the council and how it affects them and their work. As many as one in four (25%) disagreed with this view; up on the last survey.
- New questions revealed that at least four out of five employees agreed that they know about the email and intranet policy (85%) and where internal vacancies are advertised/ displayed (80%). Three quarters (74%) agreed that they know where to go if they have a query relating to an HR issue; but one in six (16%) did not know.

## MANAGING PRESSURE OF WORK

- Two out of five employees (40%) felt unduly pressured at present; higher than in earlier surveys. Pressure was typically attributed solely to work and continued to be experienced most among employees in higher grades.
- Increasing workload (72%) remained the principal reason for feeling unduly pressured; though it was down significantly on earlier surveys. Uncertainty about the future (54%), newly added this time, competing work demands (52%), up on earlier surveys, and organisation change (43%), also up on previous, were also contributory factors.
- Half of employees (50%) often worried about work outside working hours; up from around two out of five in earlier surveys. Again, those higher up the pay scale were more likely to worry.
- Slightly less than one in four employees (24%) agreed that pressure was affecting their job performance. Once more, employees in the higher pay bands were more likely to agree.
- Over a quarter (28%) of employees felt that balancing home and work responsibilities contributes to the pressure they feel at work. Employees in Children's Services, and those higher up the pay scale were more likely to feel this way.
- Almost three quarters of employees said that their workload had increased either a lot (39%) or a little (33%) in the last 12 months; like in previous surveys. Employees within Chief Executive's and those higher up the pay scale were more likely to say their workload had increased 'a lot'.
- Three out of ten employees (31%) had had to regularly put in a lot of extra time in the last 12 months to meet the demands of their workload. Employees in Children's Services, and those higher up the pay scale were more likely to have had to do this.
- A majority of employees (55%), as in earlier surveys, felt that their workload of the last twelve months had been 'about right'. However, a sizeable minority (42%) said it had been 'too busy'. Once more, employees higher up the pay scale were more likely to feel the latter.

## MANAGING HEALTH, SAFETY AND WELFARE

- As in previous surveys, nine out of ten employees was aware of the precautions they need to take to be safe at work (92%), and if they felt something was unsafe would feel able to discuss it with their manager or supervisor (90%).
- The proportions of employees that were aware of how the council's Health and Safety Policy affects them (82%), and felt they were provided with a safe and secure working environment (80%) were both up on 2005.
- Over three quarters of employees (78%) agreed that the council takes the well-being of staff seriously.

## VIOLENCE AND AGGRESSION

- One in five employees (20%) had experienced at least one violent or aggressive incident at work. Employees in Adult and Community Services were particularly vulnerable.
- Seven out of ten employees (70%) were aware of the precautions taken to protect them from violence and aggression; up seven percentage points on the last survey. A similar proportion of employees (68%) felt the precautions taken were normally adequate.

## UNFAIR TREATMENT

- Three quarters employees (76%) said they knew where to get support and advice about being treated unfairly at work; one in four (24%) did not.
- One in five employees (20%) had experienced unfair treatment in the last 12 months; seven percentage points higher than in 2005. Unfair treatment because of role in the organisation and level in the organisation continued to be most common.
- Only one third (33%) had reported it.
- The most common perpetrators of unfair treatment continued to be colleagues or other employees (43%), line managers (40%), and senior managers (32%).
- The three main forms of unfair treatment were still verbal abuse, such as shouting, threatening or humiliating comments (36%), excessive criticism (36%), and being singled out for unfair treatment (35%).

## FAMILY FRIENDLY AND FLEXIBLE WORKING

- Three quarters of employees (73%) agreed that the council tries its best to help employees to agree working arrangements that suit their needs.
- Employees were most likely to have taken special leave in order to care for their children (18%); twice as many as in 2005. Also, this time around, many more employees had taken leave to care for an adult (13%); up nine percentage points on 2005.
- Adoption/ fostering leave continued to be least well known; over a third of employees had never heard of it (37%). However, this was lower than in 2005. Also down on the previous survey were the proportion of employees who had never heard of caring for adults leave (28%) and caring for children leave (28%). The same as four years ago, employees in Neighbourhood Services were the most likely in all instances to have never heard of each of the different forms of family friendly leave available.
- One in ten employees (10%) had asked for and been granted a change in their working arrangements, while three per cent had asked and been refused. A majority (64%) knew about the possibility but hadn't sought to take it. However, a sizeable minority (23%) did not know they could seek to make a change. Employees in Neighbourhood Services were least likely to know.
- The main reason for changing, or seeking to change, working arrangements was caring responsibilities related to children (40%). This was followed by the desire to have more time for family and home (28%) and reducing stress (27%).

## APPRAISAL AND TRAINING

- In the last 12 months, over three quarters of employees (77%) said they had received a full appraisal using the competency framework. Just over half (53%) had received a Training Review.
- Employees tended to be confident their manager carries out their appraisal competently (72%), and knew who to contact for advice on learning and development opportunities (70%).
- Less than two thirds felt the appraisal process helps them to set measurable objectives and gain clarity as regards expectations (64%) and understand how their development contributes to team and organisational improvement (63%).
- Over half of employees (54%) found the scheme guidance and process easy to follow.



- Less than half of employees (45%) agreed that the new scheme was an improvement on the previous one.
- A majority of employees continued to agree that the council is committed to training and development (77%), that their manager supports their training and development (75%), and that they are given the same opportunities for development as other employees (69%).
- Around two thirds of employees (64%) agreed that they receive appropriate learning and development in relation to their needs.
- As in the 2004 and 2005 surveys, employees were least likely to agree that they are provided with good information on what training is available to them (62%). Employees in Neighbourhood Services were more likely to disagree this was the case.

## **WHISTLE BLOWING**

- A majority of employees (56%) knew that the council has a whistle blowing procedure; many did not (44%).
- Two out of five employees (40%) said they'd feel able to report wrong doing by other council employees without fear of victimisation; one in five (20%) wouldn't. However, a further two out of five employees (40%) didn't know, presumably because 'it depends'.

## **TEAM WORK**

- More than four out of five employees agreed that their team was committed to good customer service (87%) and get on well together (82%). Marginally less agreed that they receive enough support from their team (74%), that it knows how well it is performing (72%), and is well organised (71%).
- Two thirds (67%) agreed that their team was well managed; a noteworthy minority (15%) disagreed. But the greatest level of disagreement came in respect of team meetings. Three in five employees (62%) agreed they have enough meetings; one in five (21%) disagreed.

## **LEADERSHIP AND CHANGE**

- Employees continued to be more likely to agree that the Chief Executive and Directors have a clear vision of where the council is going (49%) than elected members (29%). However, it's clear that neither group has successfully established that it has a clear vision in the eyes of most employees.
- Just like in earlier surveys, confidence was greatest when it came to Departmental Management Teams; over half of employees (58%) agreed that they had confidence in their DMT. Behind this came confidence in the Chief Executive (45%), just as it did in 2005. Lastly came confidence in the Corporate Management Team; 41% of employees agreed they had confidence in the CMT.
- As in previous years, more employees agreed that they had seen some positive changes within the council in the last 12 months (29%) than disagreed (24%). But this time, opinion was much more evenly divided. The largest proportion (45%) held no view either way.
- For the first time, the survey found that more employees disagreed that things will improve in the next 12 months (34%) than agreed (24%). Here again, the largest proportion of employees (41%) held no view either way.

## **BUSINESS TRANSFORMATION**

- Seven out of ten employees (69%) would like more information about the Business Transformation programme and how it will affect them.
- Less than half of employees (48%) agreed that they knew what the main priorities of the programme are, while more than one in four (27%) disagreed.
- Only a third of employees (35%) agreed that the programme will help the council to be more efficient; most held no view either way (48%).

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## 1. INTRODUCTION

### **Background**

- 1.1 The latest Employee Survey was carried out in February-March 2009. It followed similar surveys in 2002, 2004 and 2005.

### **Scope**

- 1.2 The survey included questions on:
- Attitudes towards the council as an employer, internal communications, team working, health, safety and welfare, the appraisal process, training, leadership and change, business transformation
  - Awareness of the Whistle Blowing Procedure
  - The extent of appraisals and follow-up training reviews
  - Changes in workload and the amount of extra time worked to meet demands
  - The use of family friendly arrangements and changes in working arrangements
  - Levels of unfair treatment (discrimination, victimisation, harassment and bullying), violence and aggression in the workplace

## 2. METHODOLOGY

### **Sample**

- 2.1 In line with earlier surveys, all staff were given an opportunity to express their views whatever their job, grade or working arrangements. The current payroll was used as a base list of staff in employment.

### **Questionnaire**

- 2.2 To keep costs at an economic level, a mixed methodology of online and paper-based self-completion questionnaire was used. The questionnaire was designed by the Corporate Strategy Section in close consultation with Human Resources.

### **Fieldwork**

- 2.3 The survey opened on 9 February 2009 and closed on 20 March 2009. Monthly-paid employees were asked to complete it on-line (with the option of a paper copy if they wished), whilst others received a paper copy. A combination of email and paper reminders was used to encourage further responses.

### **Response rate**

- 2.4 A total of 1,197 completed questionnaires was received (Table 2.1), giving an overall response rate of 40%. After the last employee survey (2005) obtained a markedly lower response (30%), this latest was more in line with the ones undertaken in 2002 (45%) and 2004 (47%).

**Table 2.1 Responses from departments**

	Sample		Returned		Response rate
	Number	%	Number	%	%
Chief Executive's	348	12	165	14	47
Children's Services	487	16	228	19	47
Adult & Community Services	760	26	291	24	38
Neighbourhood Services	1056	36	268	22	25
Regeneration and Planning	225	8	115	10	51
Schools	88	3	--	--	--
Unidentified			130	11	
<b>TOTALS</b>	<b>2,964</b>	<b>100</b>	<b>1,197</b>	<b>100</b>	<b>40</b>

***The report***

- 2.5 All percentages are based on the total number of respondents who answered each question. Those who said 'don't know' or chose not to answer at all have been excluded from many of the analyses.
- 2.6 Comparisons with the results from previous surveys have been provided where possible. Even where these are statistically different from earlier results, the reader is strongly advised to resist the urge to see definitive trends in the data. A statistical trend cannot be detected from 2-3 data points and differences could be attributable to the normal variation present within all measurements. It's only by tracking results over time that it will be possible to determine whether those changes in results that appear encouraging do in fact constitute an improvement.

**3. A GOOD EMPLOYER*****The factors that make a good employer***

- 3.1 The first question was used in both 2002 and 2005; employees were asked to consider the importance of a range of factors that might go towards making an employer a good employer (Table 3.1).
- 3.2 In line with earlier surveys, all the factors were considered important by a majority of employees. The three most likely to be thought 'very important' continued to be ensuring the support of managers and supervisors (86%), providing the right equipment and facilities to do the job (85%), and valuing employees (85%).
- 3.3 The one exception from earlier surveys was the proportion of respondents who thought it 'very important' for a good employer to have flexible arrangements for people with outside commitments (e.g. parents and carers). This now stands at 65%; up nine percentage points on 2005, and 17 points on 2002.

**Table 3.1 How important are these factors for a good employer...?**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Very important			Fairly important			Neither/ nor			Fairly unimportant			Very unimportant					
	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009
Makes sure employees are supported by their managers/supervisors	87	89	86	12	11	13	#	#	1	#	#	#	1	#	1	(1426)	(819)	(1185)
Gives employees the right equipment and facilities to do their job well	88	88	85	11	10	14	#	1	1	#	#	0	1	#	1	(1428)	(813)	(1188)
Makes employees feel valued	86	86	85	12	12	13	1	1	1	#	#	#	1	#	1	(1427)	(819)	(1189)
Gives employees the chance to do training and improve their skills	81	79	78	18	19	19	1	1	1	#	#	1	1	#	1	(1427)	(822)	(1191)
Listens to what employees have to say and takes it into account	80	78	77	18	21	22	1	1	1	#	#	#	1	#	1	(1426)	(820)	(1192)
Pays competitive wages/salaries	76	79	76	22	20	23	1	1	1	#	#	0	#	#	1	(1423)	(818)	(1186)
Keeps employees informed about what is happening in the organisation	64	68	69	33	27	28	2	4	2	#	1	#	1	#	1	(1428)	(818)	(1188)
Has flexible arrangements for people with outside commitments e.g. parents and carers	48	56	65	43	36	29	7	6	4	1	2	1	#	#	1	(1408)	(808)	(1185)
Gives employees varied and interesting jobs, where possible	52	51	50	40	41	41	6	6	7	1	1	1	#	#	1	(1416)	(817)	(1184)

# = Less than 0.5%

**Table 3.2 How good an employer is Hartlepool Borough Council...?**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Very good			Fairly good			Neither/ nor			Fairly poor			Very poor					
	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009
Has flexible arrangements for people with outside commitments e.g. parents and carers	23	33	34	49	44	47	19	16	13	7	5	4	2	2	2	(1276)	(739)	(1095)
Gives employees the chance to do training and improve their skills	32	38	32	46	44	50	12	10	10	7	6	6	3	2	2	(1413)	(815)	(1173)
Gives employees the right equipment and facilities to do their job well	21	23	21	46	48	46	20	17	20	10	8	9	3	3	4	(1421)	(809)	(1182)
Pays competitive wages/salaries	16	18	19	49	47	49	22	21	20	9	11	9	4	4	3	(1423)	(812)	(1178)
Makes sure employees are supported by their managers/supervisors	21	21	18	43	43	41	20	21	22	11	9	11	5	6	8	(1408)	(809)	(1168)
Keeps employees informed about what is happening in the organisation	19	22	18	48	48	44	18	17	20	10	10	12	5	3	6	(1417)	(814)	(1180)
Gives employees varied and interesting jobs, where possible	12	14	12	54	55	57	26	24	25	6	5	5	1	1	1	(1378)	(788)	(1149)
Makes employees feel valued	14	12	10	34	36	33	27	28	27	18	18	19	7	7	11	(1407)	(811)	(1176)
Listens to what employees have to say and takes it into account	12	11	9	39	42	36	28	28	30	15	13	17	7	6	9	(1399)	(796)	(1156)

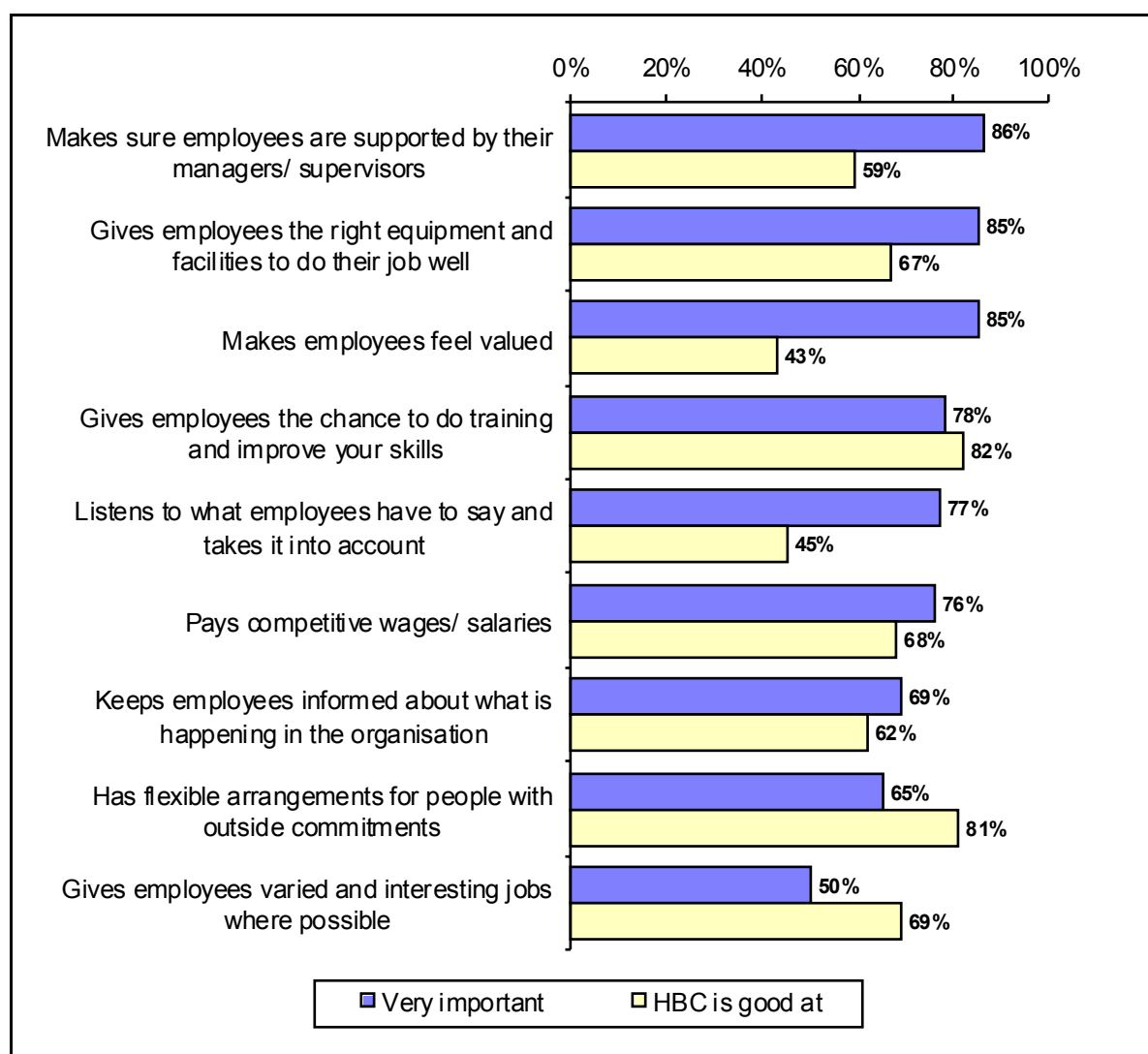
# = Less than 0.5%



### ***How Hartlepool BC measures up***

- 3.4 In 2005, a majority of employees thought the council was at least 'fairly good' at all the items listed, with one exception, making them feel valued. This time the picture was very similar (Table 3.2), but with two exceptions; making employees feel valued (43%), once again, and listening to what they have to say and taking it into account (45%). Correspondingly, these two items were the things that employees felt the council was poorest at (29% and 25% respectively).
- 3.5 Employees were most likely to think the council was 'very good' at having flexible arrangements for people with outside commitments (34%) and giving employees the chance to do training and improvement of skills (32%). This was the same 'top two' as in both 2002 and 2005.
- 3.6 As in 2005, comparing employee ratings of the council with what matters most to them (Figure 3.1) revealed the biggest 'performance gaps' in respect of how well the council makes employees feel valued, and listens to what they have to say and takes it into account. The net scores this time (percentage saying 'very' or 'fairly' good minus percentage saying 'very important') were -42 pts and -32 pts, respectively.

**Figure 3.1 'Very important' factors and the things that employees felt Hartlepool BC was to some extent good at**



- 3.7 The two most important items, making sure employees are supported by their managers/supervisors (net -27 pts), and giving them the right equipment and facilities to do their job well (net -20 pts), also showed some room for improvement in the eyes of employees.
- 3.8 The picture was more positive in respect of giving chances to do training and improve skills, fourth highest on the list of what matters to employees (net +4 pts). And the gap was also relatively close in respect of keeping employees informed (net -7 pts) and paying competitive wages (net -8 pts). Finally, many more employees thought the council was good at giving employees varied and interesting jobs (net +19 pts) and having flexible arrangements for people with outside commitments (net +16 pts) than considered these factors 'very important'.

### ***Attitudes towards working for the council***

- 3.9 Employees were presented with a short list of statements about the council and asked to say whether they agreed or disagreed with each of them (Table 3.3). One new statement, about the opportunity to question managers about change, was introduced to the survey this time around. Results remained broadly in line with earlier findings.
- 3.10 It remains the case that a majority of employees agree that Hartlepool Borough Council is a good employer (75%) and that they would recommend it to other people as a place to work (71%). One in eight employees (12%) said they were actively seeking to leave the employment of the council.
- 3.11 Once again, as in the last survey, just short of two thirds of employees (65%) said that they were satisfied with their current role and level of responsibility. However, it continued to be the case that a noteworthy minority, less than one in five this time, (17%), was not satisfied.
- 3.12 Over half of employees (58%) agreed that the council's pay structure is fair and equal to all employees. It remained the case that slightly less than one in four employees (24%) disagreed with this view. Men (32%), longer term employees, particularly those who had been with the council for 11-20 years (32%), those in pay bands 9-12 (30%), and Neighbourhood Services employees (30%) were most likely to disagree.
- 3.13 Finally, the newest statement in the survey revealed that although a majority of employees (57%) agreed they had sufficient opportunity to question managers about change at work, just over one in five (22%) disagreed. Here also, men (26%), employees with 11-20 years service (29%), and Neighbourhood Services employees (27%) stood out as being particularly likely to disagree.

**Table 3.3 Working for the council: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither/ nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
The council is a good employer *	16	15	15	61	66	60	20	15	19	3	3	5	1	1	1	(1461)	(818)	(1173)
I would recommend the council to other people as a place to work	16	16	16	57	60	55	21	18	21	5	4	7	2	1	2	(1448)	(815)	(1163)
I am satisfied with my current role and level of responsibility	10	14	16	50	50	49	17	20	18	18	15	13	6	4	4	(1464)	(786)	(1174)
The Council has a pay structure that is fair and equal for all employees (regardless of gender, age, race, sexual orientation, religion/ belief or disability) **	N/A	10	14	N/A	42	44	N/A	24	18	N/A	17	16	N/A	7	8	N/A	(770)	(1145)
I have sufficient opportunity to question managers about change at work ***	N/A	N/A	12	N/A	N/A	45	N/A	N/A	22	N/A	N/A	16	N/A	N/A	6	N/A	N/A	(1163)
I am actively seeking to leave the employment of the council	4	3	3	6	6	9	19	22	21	45	44	39	26	25	28	(1409)	(789)	(1138)

\* In 2004, this statement was worded 'I feel the council is a good employer'.

\*\* 'Sexual orientation' and 'religion/ belief' added to the statement in 2009

\*\*\* Statement introduced in 2009

## 4. INTERNAL COMMUNICATIONS

### *Useful communications methods*

- 4.1 As in 2002 and 2005, employees were asked how useful they found the various types of communication methods used at the council (Table 4.1). Still top of the list, though down 10 percentage points on last time, was team or section meetings (74%). As we will see, many employees continued to hold a preference for verbal, face-to-face communications, which could explain why meetings are considered so useful. Given their perceived value, it's perhaps worth noting that it remains the case that one in four employees (23%) in Neighbourhood Services don't ever have them.
- 4.2 For all that they may prefer face-to-face communications methods, the intranet was considered by employees to be the second most useful (72%), followed by Hartbeat – the council's magazine (69%), departmental briefings (66%), and Newslines – the newsletter for employees (65%).
- 4.3 The least useful communication method, just as it was in 2002 and 2005, was noticeboards in workplaces; slightly less than a third of employees (31%) said they were 'not very' or 'not at all' useful.
- 4.4 Many of the falls in perceived usefulness, as compared with the last survey – Management Matters down 15 pts, corporate briefings down 14 pts, Newslines down 13 pts, departmental briefings down 11 pts, team or section meetings down 10 pts – largely reflected increases in the proportion taking a neutral 'neither/ nor' stance, rather than any corresponding rise in antipathy towards the methods in question. It would certainly be wise for the reader to guard against seeing definitive downward trends from so few data points.

**Table 4.1 Usefulness of different methods of communication**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Very useful			Fairly useful			Neither useful nor useless			Not very useful			Not at all useful					
	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009	2002	2005	2009
Team/ section meetings	43	40	28	39	44	46	11	10	14	4	5	8	2	2	3	(1266)	(719)	(1044)
The council's intranet	20	29	28	43	43	44	22	17	16	10	8	10	4	3	3	(979)	(660)	(991)
Departmental briefings by senior managers/ directors *	N/A	31	21	N/A	46	45	N/A	14	21	N/A	5	8	N/A	3	4	N/A	(652)	(886)
Hartbeat – the council's magazine	26	18	20	55	54	49	13	18	20	5	8	8	1	2	3	(1374)	(748)	(1094)
Newsline – the newsletter for employees	22	23	15	51	55	50	17	13	20	8	8	11	2	2	4	(1269)	(794)	(1135)
Corporate briefings by the Chief Executive or Corporate Management Team (CMT) **	N/A	26	16	N/A	46	42	N/A	19	28	N/A	5	9	N/A	4	5	N/A	(462)	(674)
Management Matters – the electronic newsletter for managers and supervisors	N/A	16	10	N/A	46	37	N/A	26	38	N/A	8	11	N/A	5	4	N/A	(359)	(587)
Notice-boards in council workplaces	17	8	7	44	35	33	21	25	28	14	23	22	4	8	9	(1285)	(710)	(1004)

NB These figures exclude employees who did not have access to these types of communication, e.g. did not have access to the Intranet.

\* In 2005, this statement was worded 'Briefings by senior managers/ directors'.

\*\* In 2005, this statement was worded 'Briefings by the Chief Executive'

**Newsline**

- 4.5 Among those that received it, a majority of employees (52%) said they read most of the content of the Newsline newsletter (Table 4.2). This was less than in 2005 (down 13 pts); since more people this time around said they read only some of it (40%). The number of employees that don't read it at all (8%) remained largely unchanged.

**Table 4.2 How much of Newsline employees read**

	<b>2005</b>	<b>2009</b>
	%	%
Read most of it	65	52
Read some of it	29	40
Do not read it at all	6	8
<b>Totals</b>	<b>100</b>	<b>100</b>
(No.)	(732)	(1031)

NB. These figures exclude employees who have not seen or received the publication.

**Communication preferences**

- 4.6 Two thirds of employees would like to get their information about what is going on in the council verbally/ face-to-face, either one-to-one or in small groups (65%); up 15 percentage points on 2005 (Table 4.3). Emails or memos (55%) and briefings and presentations (54%) remained popular with more than half of employees.

**Table 4.3 Employees would like to get information about what is going on through...**

	2005	2009
	%	%
Verbally / face-to-face (one-to-one or in small groups)	50	65
Emails or memos	59	55
Briefings/ presentations	55	54
The Intranet	41	38
Written reports	32	30
Posters and leaflets	31	26
Other	2	2
Don't know	3	2
(No.)	(828)	(1168)

NB. Employees could give multiple responses

***Further opinion on communications***

- 4.10 As in previous surveys, employees were asked about putting forward ideas or suggestions for improvement, how well informed they feel, and their understanding of the link between their work and the council's aims and objectives. Three new statements were also included this time around on Human Resources queries, the advertisement of internal vacancies, and the email and intranet policy.
- 4.11 Over three quarters of employees (77%) continued to agree that they understood how their work contributes to the overall aims and objectives of the council. Just eight per cent of employees disagreed with this view.
- 4.12 As in previous surveys, a majority of employees (66%) agreed that if they wanted to put forward new ideas or suggestions for improvement they knew how to do so. A sizeable minority (16%) said they didn't know. The survey is silent on how much employees actually do put forward ideas and suggestions in the workplace and the extent to which these are then implemented.
- 4.13 Only half of employees (50%) agreed that they generally felt well informed about what is happening in the council and how it affects them and their work. As many as one in four (25%) disagreed with this view; up five percentage points on the last survey.
- 4.14 The new statements revealed that at least four out of five employees agreed that they know about the email and intranet policy (85%) and where internal vacancies are advertised/ displayed (80%). Three quarters of employees (74%) agreed that they know where to go if they have a query relating to an HR issue. However, one in six employees (16%) did not know and disagreed.

**Table 4.4 Communications: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither / nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
I know about the email and intranet policy *	N/A	N/A	31	N/A	N/A	54	N/A	N/A	5	N/A	N/A	7	N/A	N/A	7	N/A	N/A	(1040)
I know where internal vacancies are advertised/displayed *	N/A	N/A	26	N/A	N/A	54	N/A	N/A	7	N/A	N/A	9	N/A	N/A	4	N/A	N/A	(1064)
I understand how my work contributes to the council's overall aims and objectives	N/A	20	19	N/A	60	58	N/A	13	16	N/A	5	6	N/A	2	2	N/A	(790)	(1136)
I know where to go if I have a query relating to a Human Resources (HR) issue *	N/A	N/A	20	N/A	N/A	54	N/A	N/A	10	N/A	N/A	13	N/A	N/A	3	N/A	N/A	(1102)
If I want to put forward new ideas or suggestions for improvement, I know how to do so	8	17	14	59	53	52	16	17	18	15	11	13	2	3	3	(1369)	(766)	(1101)
Generally, I feel well informed about what is happening in the council and how it affects me and my work	N/A	8	7	N/A	46	43	N/A	26	25	N/A	16	19	N/A	4	6	N/A	(799)	(1142)

\* Statement added in 2009



## 5. MANAGING PRESSURE OF WORK

### *Experience of pressure*

- 5.1 Employees were asked about their experience of pressure (Table 5.1). Two out of five (40%) said that, at present, they felt unduly pressured; higher than in both previous surveys. In a majority of cases (75%) this pressure was solely attributed to work, and in one in four cases (25%) it was put down to a combination of work and home. Very few employees (1%) said it was solely due to life at home.

**Table 5.1 Feeling unduly pressured and sources of pressure**

	2004	2005	2009
	%	%	%
Yes	36	37	40
No	64	63	60
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(1475)	(807)	(1162)
Pressure at work	77	70	75
Pressure at home	1	4	1
Both	22	27	25
<b>Total</b>	<b>100</b>	<b>101</b>	<b>101</b>
(No.)	(532)	(296)	(461)

- 5.2 Experience of undue pressure continued to be greatest among employees in higher grades. In bands 1-8 and equivalents, a third of employees (33%) felt unduly pressured; whereas a half of those in bands 9-12 and equivalents (50%) and bands 13-15 and equivalents (49%) felt this way.

### *Pressure at work*

- 5.3 The principal reason given for feeling unduly pressured at work remained increasing workload (72%) (Table 5.2). It was, however, down significantly on earlier surveys. The second reason was an item newly added to the list for this latest survey – uncertainty about the future (54%). This was followed by competing work demands (52%), up on earlier surveys (though this could be down to a slight change in wording), and organisation change (43%), also up on previous results.

**Table 5.2 Reasons given for work pressure**

	2004	2005	2009
	%	%	%
Increasing workload	80	81	72
Uncertainty about the future	N/A	N/A	54
Competing work demands *	37	41	52
Organisation change	34	35	43
Conflicting instructions	35	29	31
Lack of support from manager	27	19	30
Unclear role	33	26	23
Unachievable deadlines	N/A	N/A	22
Not being able to complete tasks	N/A	N/A	22
Insufficient feedback	30	22	20
Working hours/ arrangements	N/A	N/A	17
Conflict with managers	19	16	17
Unconstructive feedback	16	12	17
Lack of autonomy/ independence (i.e. personal freedom to make decisions)	18	17	16
Conflict with colleagues/ team members	17	17	16
Lack of control	16	14	12
Insufficient training	16	12	10
Lack of support from colleagues	12	10	10
Fear of aggressive incidents	12	8	9
Too much autonomy/ independence	3	1	3
Conflict with elected members	2	6	2
Other	14	18	11
(No.)	(531)	(288)	(456)

\* Changed from 'Other work demands' in 2009

### ***Worry outside working hours and the affect of pressure on performance***

- 5.4 Half of employees (50%) agreed that they often worry about work outside of working hours; up from around two out of five employees in earlier surveys (Table 5.3). Further analysis revealed that, as in previous years, employees higher up the pay scale were more likely to worry; 63% of bands 9-12 and equivalents and 71% of bands 13-15 and equivalents.
- 5.5 Just less than one in four employees (24%) agreed that the pressure they experienced was affecting their job performance, presumably in a detrimental way. Exactly half (50%) disagreed, and one in four employees (25%) answered with a 'neither' nor' response. Here again, employees in the two highest pay bands were more likely to agree; one in three in both bands (33%) saying pressure affected their performance.

**Table 5.3 Pressure: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither / nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
I often worry about work outside my working hours	9	11	18	32	31	32	19	20	17	30	27	25	10	11	8	(1468)	(797)	(1143)
Balancing my home and work responsibilities contributes to the pressure I feel at work *	N/A	N/A	7	N/A	N/A	21	N/A	N/A	20	N/A	N/A	39	N/A	N/A	13	N/A	N/A	(1131)
I feel that pressure is affecting my job performance	5	4	7	16	13	17	25	26	25	43	43	39	11	14	11	(1429)	(779)	(1131)

\* Statement added in 2009

- 5.6 A new statement, added to the survey this time around, found that over a quarter (28%) of employees felt that balancing home and work responsibilities contributes to the pressure they feel at work. However, over half (52%) disagreed. The remainder (20%) neither agreed nor disagreed. Looking across departments, employees in Children's Services (37%) were more likely to feel this way than their counterparts elsewhere in the council. And in terms of pay bands, once again, employees higher up, especially those in the 13-15 pay bands and equivalents (43%), were more likely to feel this way.

#### ***Extent of change in workload***

- 5.7 Almost three quarters of employees said that their workload had increased either a lot (39%) or a little (33%) in the last 12 months (Table 5.4). Most of the remainder (24%) said that it had stayed the same. Just three per cent felt that it had gone down. This pattern was the same as in previous surveys.

**Table 5.4 Perceived change in workload in last 12 months**

	<b>2004</b>	<b>2005</b>	<b>2009</b>
	<b>%</b>	<b>%</b>	<b>%</b>
Increased a lot	39	38	39
Increased a little	33	34	33
Stayed the same	26	25	24
Gone down	2	4	3
<b>TOTAL</b>	<b>100</b>	<b>101</b>	<b>99</b>
(No.)	(1367)	(728)	(1077)

- 5.8 In every department, a majority of employees said they had experienced a rise in their workload in the last 12 months. Employees within the Chief Executive's Department were the most likely to say their workload had increased 'a lot' in the last 12 months. Slightly less than half of them (48%) said this was the case.
- 5.9 Further analysis revealed, as in previous years, that employees higher up the pay scale were more likely to say their workload had increased a lot. Forty seven per cent of employees in bands 9-12 and equivalents and 48% of bands 13-15 and equivalents said this was the case, as compared with 33% among bands 1-8 and equivalents.

#### ***Extra time put in to meet demands of workload***

- 5.10 Three out of ten employees (31%), a sizeable minority, said that they had had to regularly put in a lot of extra time in the last 12 months to meet the demands of their workload (Table 5.5). A further four out of ten (41%) had had to do this occasionally. Though the pattern of these results was broadly in line with earlier surveys, the proportion regularly putting in a lot of extra time is significantly higher than it was in 2004.

**Table 5.5 Employees who have put in a lot of extra time in last 12 months to meet workload demands**

	2004	2005	2009
	%	%	%
Regularly	24	28	31
Occasionally	43	39	41
Rarely	18	17	14
Never	16	16	14
<b>TOTAL</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(1346)	(726)	(1081)

- 5.11 Across the council, employees in Children's Services (39%) were most likely to say that they had had to regularly put in a lot of extra time to meet their workload demands in the last 12 months.
- 5.12 In terms of pay bands, employees graded in bands 13-15 and equivalents were by far the most likely to say that they had regularly put in a lot of extra time. Fifty two per cent of them said this was the case, as compared with 42% among bands 9-12 (a sizeable minority in itself), and 19% among bands 1-8 and equivalents.

### ***Opinion on workload***

- 5.13 Similar to the last survey, a majority of employees (55%) felt that their workload of the last twelve months had been 'about right'. However, a sizeable minority (42%) said it had been 'too busy'. Just three per cent said that it had been 'too quiet' for them.

**Table 5.6 Employee perception of workload in last 12 months**

	2005	2009
	%	%
Too busy	38	42
About right	58	55
Too quiet	4	3
<b>TOTAL</b>	<b>100</b>	<b>100</b>
(No.)	(726)	(1063)

- 5.14 Further analysis revealed that a majority of employees in bands 13-15 and equivalents (60%) and 9-12 and equivalents (56%) felt they had been 'too busy' in the last 12 months. This compared with 31% among bands 1-8 and equivalents.

## **6. MANAGING HEALTH, SAFETY AND WELFARE**

- 6.1 Employees were presented with a list of health and safety related statements and asked to say how much they agreed or disagreed (Table 6.1). The results were very similar to previous surveys; a majority of employees agreed, at least to some extent with all of the statements. Only small percentages of employees, less than ten per cent in all instances, disagreed.
- 6.2 The most notable change was the increase in the proportion of employees agreeing that they were aware of how the council's Health and Safety Policy affects them (82%); up 11 percentage points on 2005.
- 6.3 A less pronounced change, but still statistically significant, was the rise in employees who agreed they were provided with a safe and secure working environment; up 5 percentage points on 2005.
- 6.4 One new statement was introduced in this section. It revealed that over three quarters of employees agreed that the council takes the well-being of staff seriously (78%); the lowest level of agreement of all the statements on health and safety. However, just eight per cent of employees actually disagreed with the statement.

**Table 6.1 Health and safety: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither/ nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
I am aware of the precautions I need to take to be safe at work	18	23	25	71	68	67	8	7	6	3	2	1	1	1	1	(1481)	(808)	(1147)
If something is unsafe, I feel able to discuss it with my manager or supervisor	28	35	33	61	54	57	5	6	6	4	3	3	1	2	1	(1487)	(811)	(1148)
I am aware of how the council's Health & Safety Policy affects me	12	15	20	56	56	62	18	17	14	13	10	4	2	2	1	(1443)	(788)	(1121)
I feel adequate provision is made to ensure my personal safety at work	11	18	19	54	60	61	18	13	12	13	7	6	3	2	1	(1484)	(809)	(1146)
I am provided with a safe and secure working environment	11	18	19	53	57	61	20	16	13	13	9	5	3	3	1	(1477)	(789)	(1152)
The council takes the well-being of staff seriously *	N/A	N/A	24	N/A	N/A	54	N/A	N/A	14	N/A	N/A	6	N/A	N/A	2	N/A	N/A	(1138)

\* Statement introduced in 2009

## 7. VIOLENCE AND AGGRESSION

### *Experience of violence and aggression*

- 7.1 One in five employees (20%) had experienced a violent or aggressive incident at work, such as physical violence, people shouting at them, using insults or being rude. This was lower than last time, but not by a statistically significant amount (Table 7.1). Employees in this position tended to have experienced more than one incident.
- 7.2 Employees in Adult and Community Services were the most likely across the council to have experienced violence or aggression at work (26%).

**Table 7.1 Experience of violence and aggression in the last 12 months**

	2004	2005	2009
	%	%	%
Not experienced	71	77	80
One incident	7	5	5
Two to five incidents	14	13	11
Six or more incidents	8	5	4
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(1484)	(804)	(1138)

### *The precautions taken to protect employees*

- 7.3 Overall, seven out of ten employees (70%) agreed, strongly or otherwise, that they were aware of the precautions taken to protect them from violence and aggression; up seven percentage points on the last survey (Table 7.2). A similar proportion of employees (68%) felt the precautions taken were normally adequate; one in ten (10%) disagreed.



**Table 7.2 Violence and Aggression: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither/ nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
I am aware of the precautions taken by the council to protect me from violence and aggression	7	12	15	50	51	55	23	18	18	16	15	10	4	4	2	(1419)	(764)	(1086)
The precautions to protect me from violence and aggression are normally adequate	7	13	13	51	51	55	30	27	22	9	5	8	4	3	2	(1340)	(703)	(1034)

## 8. UNFAIR TREATMENT AT WORK

- 8.1 This section of the survey looked at discrimination, victimisation, harassment and bullying at work; this time under the generic heading 'unfair treatment'.

### ***Support and advice***

- 8.2 Three quarters employees (76%) said they knew where to get support and advice about being treated unfairly at work. That left a sizable minority, one in four (24%), who did not.

### ***Experience of unfair treatment***

- 8.3 A majority of employees continued to have no experience of unfair treatment at work (Table 8.1). However, as many as one in five employees had experienced such treatment in the last 12 months (20%); seven percentage points higher than in 2005. Once again, most common was unfair treatment experienced because of role in the organisation (9%) and because of level in the organisation (7%).
- 8.4 Of those employees who said that they had experienced unfair treatment in the last 12 months, only one third (33%) had reported it. The majority of victims (66%) decided not to report what happened.

**Table 8.1 Employees' experience of discrimination, harassment, or bullying in the last 12 months**

	2005	2009
	%	%
Not experienced	87	80
Experienced because of role in the organisation	8	9
Experienced because of level in the organisation	6	7
Experienced because of age	2	2
Experienced because of gender	1	2
Experienced because of disability/ special needs	#	1
Experienced because of sexual orientation	1	#
Experienced because of race (colour, ethnic origin)	#	#
Experienced because of religious beliefs	#	#
Other	2	5
<b>Total</b>	<b>109 *</b>	<b>107*</b>
(No.)	(790)	(1146)

# = Less than 0.5%

\* Totals to more than 100% because employees could give multiple responses

- 8.5 The most common perpetrators of unfair treatment continued to be colleagues or other employees (43%), line managers (40%), and senior managers (32%) (Table 8.2). Although some of the differences in results, as compared with 2005, appear quite large, they were not statistically significant.

**Table 8.2 Identity of perpetrators**

	<b>2005</b>	<b>2009</b>
	%	%
Colleague/ other employee	46	43
Line manager	34	40
Senior manager	26	32
Other member of the public	11	4
Service user	10	3
Employee of partner organisation	1	6
Elected member	7	2
<b>Total</b>	<b>135 *</b>	<b>129 *</b>
(No.)	(103)	(204)

\* Totals to more than 100% because employees could give multiple responses

- 8.6 The three main forms of unfair treatment, as in the previous survey, were verbal abuse, such as shouting, threatening or humiliating comments (36%), excessive criticism (36%), and being singled out for unfair treatment (35%) (Table 8.3). The first of these, verbal abuse, was the only one significantly different from 2005; down 17 percentage points. The rest remained effectively unchanged.
- 8.7 A further one in four victims of unfair treatment had suffered non-verbal behaviours, such as mimicking, ignoring, staring or disregarding (23%), or unfair treatment in the form of unfair work allocation (23%).

**Table 8.3 Forms of unfair treatment**

	<b>2005</b>	<b>2009</b>
	%	%
Other verbal (e.g. shouting, threatening, humiliating)	53	36
Excessive criticism	44	36
Being singled out for unfair treatment **	37	35
Non-verbal (e.g. mimicking, ignoring, staring, disregarding)	30	23
Work allocation	19	23
Offensive remarks (e.g. name calling, racist jokes, jokes about disability)	15	12
Written (e.g. use of emails, memos)	7	7
Sexual (e.g. innuendos, leering, rude jokes/ remarks)	6	7
Physical (e.g. inappropriate touching)	4	1
Other	16	24
<b>Total</b>	<b>231 *</b>	<b>201 *</b>
(No.)	(103)	(199)

\* Totals to more than 100% because employees could give multiple responses

\*\* Wording changed from 'Victimisation (e.g. keeping you out of things, singling out for unfair treatment)'

## **9. FAMILY FRIENDLY AND FLEXIBLE WORKING**

### ***Opinion on working arrangements***

- 9.1 In a new question, three quarters of employees agreed that the council tries its best to help employees to agree working arrangements that suit their needs; one in five (20%) strongly agreed, the remainder simply agreed (53%). A further one in five (19%) gave a neutral response, expressing no view either way. Of the remainder, six per cent of employees disagreed with the proposition and two per cent strongly disagreed.

### ***Family friendly leave***

- 9.2 Employees were asked about their knowledge and usage of family friendly leave arrangements (Table 9.1). In a change from 2005, the survey didn't just ask whether employees had used different types of leave, but also identified whether they had been refused it at all.

**Table 9.1 Use of family friendly leave arrangements in last 12 months**

	PERCENTAGES OF RESPONDENTS				(No.)
	Asked and granted	Asked and refused	Heard of it but not used it	Never heard of it or used it	
Caring for children leave	18	#	55	28	(1033)
Caring for adults leave	13	1	57	28	(1064)
Maternity leave	3	#	80	17	(972)
Paternity/ maternity support leave	2	#	77	21	(973)
Adoption/ fostering leave	#	0	63	37	(970)

# = Less than 0.5%

- 9.3 In the last 12 months, employees were most likely to have taken special leave in order to care for their children (18%); twice as many as in 2005. Employees aged between 25-34 years (22%) and 35-49 years (31%), the ages when people will most typically have school-aged children, were the most likely to have used this type of leave.
- 9.4 This time around, many more employees had taken leave to care for an adult (13%); up nine percentage points on 2005. The numbers being refused leave of any type were relatively small, but caring for adults was the form of leave for which employees were most likely to be refused; 13 people (1%) had been in this position.
- 9.5 As regards awareness of the different types of leave, a majority were aware of all of them. The least well known continued to be adoption/ fostering leave; over a third of employees had never heard of it (37%). However, this was lower than in 2005; down 10 percentage points. Also down on the previous survey were the proportion of employees who had never heard of caring for adults leave (down 15 percentage points) and caring for children leave (down 8 percentage points).
- 9.6 The same as four years ago, employees in Neighbourhood Services were the most likely in all instances to have never heard of each of the different forms of family friendly leave available.

### ***Changes to working arrangements***

- 9.7 This time around, employees were asked for the first time whether they had requested a change in their working arrangements in the last twelve months. Examples given were: going part time, nine day fortnight, job share, term-time working, and regular working from home. One in ten (10%) had asked for and been granted a change in their arrangements, while three per cent had asked and been refused. A majority (64%) knew about the possibility but hadn't sought to take it. However, a sizeable minority (23%) did not know they could seek to make a change.
- 9.8 As with family friendly leave, employees in Neighbourhood Services were the least likely to know they could request a change in their working arrangements; two out five (39%) were unaware of the possibility.

- 9.9 The main reason for changing, or seeking to change, working arrangements was caring responsibilities related to children (40%). This was followed by the desire to have more time for family and home (28%) and reducing stress (27%) (Table 9.2).

**Table 9.2 Reasons for changing working arrangements**

	2009
	%
Caring responsibilities – Children	40
To have more time for my family/ home	28
Reduce stress levels	27
Caring responsibilities – Other (e.g. spouse, elderly relatives, etc.)	18
To fit in better with travel arrangements	16
To have more time for myself	15
Health problems	14
To take part in education and learning	12
Other	19
<b>Total</b>	<b>189 *</b>
(No.)	(138)

\* Totals to more than 100% because employees could give multiple responses

## 10. APPRAISAL AND TRAINING

### *Appraisals*

- 10.1 In the last 12 months, over three quarters of employees (77%) said they had received a full appraisal using the competency framework; which, of course, means a sizeable minority (23%) had not. The council department with the lowest proportion of completed appraisals was the Chief Executive's (57%).
- 10.2 Training reviews, undertaken six months after appraisals, were less common in the last 12 months. Just over half of employees (53%) said they had received a review. Following on from the lower proportion of appraisals in that department, just over one third of employees (35%) based in the Chief Executive's had had a training review.
- 10.3 Employees were presented with a series of statements on appraisals (Table 10.1). It's worth noting that a sizeable minority (10-21%), excluded from the analysis, answered 'don't know' to the statements. This, coupled with the sometimes quite large proportions that had no opinion either way, suggests a degree of uncertainty in the minds of employees about the appraisal process; perhaps because it's relatively new, or they haven't had one yet.

**Table 10.1 Training and development: agree/ disagree statements**

	PERCENTAGES OF RESPONDENTS					(No.)
	Agree strongly	Agree	Neither/ nor	Disagree	Disagree strongly	
I am confident my manager carries out my appraisal competently	18	54	18	6	4	(1002)
I know who to contact for advice on the learning and development opportunities available	15	55	16	10	4	(1007)
The appraisal process helps me set measurable objectives which make clear what is expected of me	11	53	24	9	3	(1025)
The appraisal process helps me understand how my development contributes to team and organisational improvement	11	52	25	9	3	(1020)
I find the scheme guidance and process easy to follow	8	46	31	13	3	(972)
I think the new scheme is an improvement on the previous scheme	11	34	37	13	4	(894)

- 10.4 Employees were most likely to agree that they were confident their manager carries out their appraisal competently (72%); though one in ten (10%) disagreed. And seven out of ten employees (70%) agreed that they know who to contact for advice on learning and development opportunities; in this case, one in seven (14%) disagreed.
- 10.5 However, employees were slightly less certain of how well the appraisal process helps them to set measurable objectives and gain clarity as regards expectations; just less than two thirds (64%) agreed it did this; one in four had no view and one in eight (12%) disagreed. Similarly, a majority of less than two thirds (63%) agreed that the appraisal process helps them understand how their development contributes to team and organisational improvement; one in four, again, had no view, while one in eight (12%) disagreed. Over half of employees (54%) agreed that they found the scheme guidance and process easy to follow; many (37%) had no view either way, and around one in six (16%) disagreed with the proposition.
- 10.6 Finally, employees' assessment of the new scheme compared with the old one was less than resounding, certainly at this point in time. Less than half (45%) agreed that it was an improvement on the previous scheme; one in six (17%) felt it wasn't. However, the large minority (37%) with no view either way, if it isn't a symptom of ambivalence, could well indicate that many employees are waiting to see how it turns out.

***Training and development***

- 10.7 As in earlier surveys, employees were presented with a list of agree/ disagree statements to ascertain their views on a variety of training and development issues (Table 10.2). Results were broadly in line with before and it continued to be the case that a majority of employees agreed with all of the statements.
- 10.8 Employees were most likely to agree that the council is committed to training and development (77%), that their manager supports their training and development (75%), and that they are given the same opportunities for development as other employees (69%). This was the same 'top three' as in 2004 and 2005.
- 10.9 A new statement, introduced this time around, found that slightly less than two thirds of employees (64%) agreed that they receive appropriate learning and development in relation to their needs; one in four (24%) had no view either way and one in eight (12%) disagreed.
- 10.10 As in the 2004 and 2005 surveys, employees were least likely to agree, and most likely to disagree, with the statement on provision of information. Nevertheless, a majority (62%) agreed that they are provided with good information on what is available to them, while slightly less than one in five (18%) disagreed. Further analysis found that Neighbourhood Services employees were significantly more likely to disagree (25%) than their counterparts elsewhere in the council.



**Table 10.2 Training and development: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither/ nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
I feel the council is committed to training and development for employees	15	23	17	63	55	60	14	15	17	6	5	5	2	1	2	(1458)	(799)	(1124)
My manager supports my training and development	21	33	22	55	47	53	15	14	18	7	5	6	2	2	1	(1462)	(786)	(1118)
I feel that I am given the same opportunities for development as other employees	16	24	19	52	48	50	16	15	18	11	10	10	4	3	3	(1465)	(792)	(1109)
I receive appropriate learning and development in relation to my needs *	N/A	N/A	14	N/A	N/A	50	N/A	N/A	24	N/A	N/A	9	N/A	N/A	3	N/A	N/A	(1118)
I feel I am provided with good information about the training and development available to me	12	15	14	46	47	48	21	20	21	16	15	14	6	4	4	(1462)	(791)	(1123)

\* Statement introduced in 2009

## 11. WHISTLE BLOWING

### *Awareness of procedure*

- 11.1 The 2009 survey included two new questions on whistle blowing. First, employees were asked whether they knew that the council has a whistle blowing procedure. A majority (56%) did know, but many did not (44%). Awareness was significantly higher in Children's Services (68%) and lower in Neighbourhood Services (35%).

### *Reporting wrongdoing*

- 11.2 When asked whether they'd feel able to report wrongdoing by other council employees without fear of victimisation, two out of five employees (40%) said they would and one in five (20%) said they wouldn't. Usually in this report, employees who answered questions by saying 'don't know' have been excluded from the results, but in this instance they've been left in because of the subject matter and the very large number who answered this way. A further two out of five employees (40%) said they didn't know whether they'd feel able to report wrongdoing, presumably because 'it depends'.
- 11.3 In line with awareness of the procedure (above), employees in Children's Services were significantly more likely to say they'd feel able to report wrongdoing (49%), while employees in Neighbourhood Services were most likely to say they wouldn't (38%).

## 12. TEAM WORK

### *Attitudes to team working*

- 12.1 In another new section, the 2009 survey included a series of statements on team work at Hartlepool BC (Table 12.1). A majority of employees agreed with each statement.

**Table 12.1 Team work: agree/disagree statements**

	PERCENTAGES OF RESPONDENTS					(No.)
	Agree strongly	Agree	Neither/nor	Disagree	Disagree strongly	
My team is committed to good customer service	41	46	10	2	2	(1131)
My team get on well together	36	46	12	4	2	(1139)
I receive enough support from my team	27	47	18	5	3	(1133)
My team knows how it is performing	26	46	19	7	3	(1115)
My team is well organised	24	47	17	9	4	(1130)
My team is well managed	25	42	18	9	6	(1129)
My team have enough team meetings to discuss problems and receive feedback	22	40	17	15	6	(1120)

- 12.2 More than four out of five employees agreed that their team was committed to good customer service (87%) and get on well together (82%). Marginally less agreed that they receive enough support from their team (74%), that it knows how well it is performing (72%), and is well organised (71%). Of all these, the latter, on team organisation, was the only one where the level disagreement reached double figures; 13% disagreed that their team was well organised.
- 12.3 There was greatest scope for improvement, in the eyes of employees, in respect of how well teams are managed and the frequency with which they meet to discuss problems and receive feedback. In terms of management, while two thirds (67%) agreed that their team was well managed, a noteworthy minority (15%) disagreed. But the greatest level of disagreement came in respect of team meetings. Three in five employees (62%) agreed they have enough meetings, but one in five (21%) disagreed.
- 12.4 Further analysis revealed that Neighbourhood Services employees were particularly likely to disagree that they were well organised (18%), well managed (21%) and have enough team meetings (32%).

### 13. LEADERSHIP AND CHANGE

#### *Vision*

- 13.1 Employees continued to be more likely to agree that the Chief Executive and Directors have a clear vision of where the council is going (49%) than elected members (29%). However, it's clear that neither group has successfully established that it has a clear vision in the eyes of most employees (Table 13.1).
- 13.2 Backing this up, many employees (37-49%) continued to hold no view one way or the other on vision. And one in four employees (23%) disagreed that elected members have a clear vision, while around one in eight (13%) felt this way about the Chief Executive and Directors. Employees in Neighbourhood Services were the most likely to disagree that both the elected members (34%) and Chief Executive and Directors (26%) have a clear vision of where the council is going.

#### *Confidence in management*

- 13.3 When it comes to confidence in the council's management, just like in earlier surveys, this was greatest when it came to Departmental Management Teams; over half of employees (58%) agreed that they had confidence in their DMT. Behind this came confidence in the Chief Executive (45%), just as it did in the last survey. Lastly came confidence in the Corporate Management Team; 41% of employees agreed they had confidence in the CMT. In all instances, the numbers had fallen somewhat from the 2005 survey back in line with the 2004 results; suggestive of normal variation, rather than any downward trend.
- 13.4 Just as was the case with the vision for the council (above), many employees, particularly when it came to opinion on the Chief Executive and CMT, continued to hold no view either way. Between 12-15% disagreed that they had confidence. Employees based in Neighbourhood Services were most likely to disagree that they have confidence in the Chief Executive (23%), DMT (26%), and CMT (27%).

**Table 13.1 Leadership and change: agree/ disagree statements**

	PERCENTAGE OF RESPONDENTS															(No.)		
	Agree strongly			Agree			Neither/ nor			Disagree			Disagree strongly					
	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009	2004	2005	2009
Vision																		
I feel the Chief Executive and Directors have a dear vision of where the council is going	5	11	8	39	44	41	44	34	37	9	7	9	4	3	4	(1303)	(691)	(978)
I feel the elected members (Councillors and the Mayor) have a dear vision of where the council is going	2	3	2	19	27	27	48	47	49	23	16	16	9	7	7	(1311)	(668)	(943)
Confidence																		
I have confidence in my Departmental Management Team	12	17	12	50	49	46	23	24	27	10	8	10	5	2	5	(1430)	(770)	(1085)
I have confidence in the Chief Executive	5	11	10	33	39	35	53	39	43	6	7	8	3	3	4	(1292)	(694)	(995)
I have confidence in the Corporate Management Team (the Directors) of the council	4	10	8	31	36	33	51	43	45	9	8	10	4	3	5	(1300)	(694)	(1004)
Improvement																		
I have seen some positive changes within the council within the last 12 months	4	7	5	34	33	24	43	45	46	15	11	18	4	4	6	(1392)	(732)	(1015)
I think things will improve in the next 12 months	3	7	4	30	32	20	44	45	41	19	12	23	4	5	11	(1342)	(668)	(972)

### ***Perception of improvement***

- 13.5 As in previous years, more employees agreed that they had seen some positive changes within the council in the last 12 months (29%) than disagreed (24%). But this time, following a fall in the former (down 11 points) and an increase in the latter (up 9 points), opinion was more evenly divided. Once again, the largest proportion (45%) held no view either way, perhaps because they were unsure or maybe because they thought things were much the same as before. Neighbourhood Services was the only department in which those who agreed they had seen positive changes (24%) was outweighed by the proportion who disagreed (36%).
- 13.6 For the first time, the survey found that more employees disagreed that things will improve in the next 12 months (34%) than agreed (24%). Here again, the largest proportion of employees (41%) continued to take a neutral standpoint and gave a neither/ nor response.

## **14. BUSINESS TRANSFORMATION**

- 14.1 The 2009 survey finished with a short new section on the Business Transformation programme (Table 14.1). It highlights a lack of knowledge and corresponding uncertainty.

**Table 14.1 Team work: agree/ disagree statements**

	PERCENTAGES OF RESPONDENTS					(No.)
	Agree strongly	Agree	Neither/ nor	Disagree	Disagree strongly	
I would like to have more information about the Business Transformation programme and how it will affect me	21	48	23	6	1	(1006)
I know what the main priorities of the Business Transformation programme are	6	42	25	19	8	(858)
The Business Transformation programme will help the council to be more efficient	5	30	48	13	4	(770)

- 14.2 Many employees would like more information about the programme and how it will affect them; seven out of ten (69%) agreed with this proposition, only seven per cent disagreed.
- 14.3 Furthermore, less than half of employees (48%) agreed that they knew what the main priorities of the programme are, while more than one in four (27%) disagreed; this excludes the 24% of employees who said 'don't know'. Employees within the Chief Executive's Department (62%) and in bands 13-15 and equivalents (65%) were more likely to know what the main priorities of the programme are, though a sizeable minority in these groups did not (22% and 19% respectively).

- 14.4 Finally, only a third of employees (35%) agreed that the programme will help the council to be more efficient. However, while 17% disagreed this would be the case, most had no view either way (48%); once again, this also excludes the many employees (32%) that answered 'don't know'. Looking across the council, the Chief Executive's department was the only one in which a majority of employees (54%) agreed that the programme will help the council to be more efficient.

## APPENDIX

### DEMOGRAPHICS

Table A. Gender

	PERCENTAGES OF RESPONDENTS											
	Chief Executives		Children's Services		Adult & Community Services		Neighbourhood Services		Regeneration & Planning Services		Total	
	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey *	Actual
Female	77	76	80	81	74	75	57	59	60	60	70	70
Male	23	24	20	19	26	25	43	41	40	40	30	30
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(162)	(298)	(227)	(521)	(284)	(639)	(262)	(932)	(113)	(209)	(1130)	(2599)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table B. Age**

	PERCENTAGES OF RESPONDENTS											
	Chief Executives		Children's Services		Adult & Community Services		Neighbourhood Services		Regeneration & Planning Services		Total	
	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey *	Actual
Under 20 years	2	2	0	1	4	3	2	1	2	1	2	1
20-24 years	8	6	2	5	6	7	1	3	5	8	4	5
25-34 years	18	19	16	19	9	13	11	9	20	18	13	14
35-49 years	49	49	46	43	41	41	34	47	42	43	41	45
50 years plus	22	24	36	32	40	36	51	40	31	30	39	35
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(161)	(298)	(227)	(521)	(284)	(639)	(261)	(932)	(114)	(209)	(1127)	(2599)

\* 'HBC Total' includes respondents who did not say what department they were in.



**Table C. Limiting long-term illness**

	PERCENTAGES OF RESPONDENTS					
	Chief Executives	Children's Services	Adult & Community Services	Neighbourhood Services	Regeneration & Planning Services	Total *
Yes	8	6	11	7	4	8
No	92	94	89	93	96	92
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(162)	(226)	(283)	(264)	(114)	(1131)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table D. Limiting long-term illness declared to the Council**

	PERCENTAGES OF RESPONDENTS					
	Chief Executives	Children's Services	Adult & Community Services	Neighbourhood Services	Regeneration & Planning Services	Total *
Yes	77	89	93	94	80	89
No	23	11	7	6	20	11
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(13)	(9)	(29)	(18)	(5)	(83)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table E Ethnic group**

	PERCENTAGES OF RESPONDENTS											
	Chief Executives		Children's Services		Adult & Community Services		Neighbourhood Services		Regeneration & Planning Services		Total	
	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey *	Actual
White	99	84	98	71	99	75	100	82	97	73	99	77
Black or black British	0	0	1	#	0	0	0	0	1	#	#	#
Mixed	1	0	#	#	1	1	#	#	1	0	1	#
Asian	1	#	#	1	0	#	0	0	1	2	#	#
Chinese or other	0	0	0	0	0	0	0	0	0	0	0	0
Unknown	-	15	-	28	-	25	-	18	-	24	-	22
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(162)	(298)	(225)	(521)	(281)	(639)	(262)	(932)	(113)	(209)	(1125)	(2599)

\* 'HBC Total' includes respondents who did not say what department they were in.

# Less than 0.5%

**Table F. Religion**

	PERCENTAGES OF RESPONDENTS					
	Chief Executives	Children's Services	Adult & Community Services	Neighbourhood Services	Regeneration & Planning Services	Total *
Prefer not to say	12	7	9	10	9	10
Buddhist	1	0	#	0	1	#
Christian	62	70	67	70	68	67
Hindu	1	#	0	0	0	#
Jewish	0	0	0	0	0	0
Muslim	0	#	0	0	1	#
Sikh	0	0	0	0	0	0
No religion / faith	21	22	23	20	21	22
Other	3	0	1	0	0	1
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(161)	(226)	(281)	(258)	(111)	(1114)

\* 'HBC Total' includes respondents who did not say what department they were in.

# Less than 0.5%

**Table G. Caring responsibilities**

	PERCENTAGES OF RESPONDENTS					
	Chief Executives	Children's Services	Adult & Community Services	Neighbourhood Services	Regeneration & Planning Services	Total *
Care for children under 18 years	35	41	28	21	35	31
Care for adult(s)	12	17	15	11	15	14
Care for both children and adults	6	4	6	4	2	5
No caring responsibilities	48	38	52	63	48	51
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(162)	(227)	(282)	(261)	(114)	(N1123)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table H. Years service at HBC**

	PERCENTAGES OF RESPONDENTS											
	Chief Executives		Children's Services		Adult & Community Services		Neighbourhood Services		Regeneration & Planning Services		Total	
	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey *	Actual
Less than 1 year	6	7	5	5	7	4	4	3	13	9	6	4
1-2 years	9	9	17	24	12	17	10	13	5	12	11	16
3-5 years	19	16	23	22	18	19	15	17	25	28	19	19
6-10 years	22	24	26	23	20	21	16	20	26	22	21	22
11-20 years	28	30	17	25	27	36	36	37	18	19	26	32
21 years plus	16	14	12	1	16	3	19	10	13	10	16	7
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(164)	(298)	(227)	(521)	(284)	(639)	(264)	(932)	(114)	(209)	(1131)	(2599)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table I. Hours worked**

	PERCENTAGES OF RESPONDENTS											
	Chief Executives		Children's Services		Adult & Community Services		Neighbourhood Services		Regeneration & Planning Services		Total	
	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey *	Actual
Full time	80	71	69	61	56	52	54	46	86	78	64	56
Part time	20	29	31	39	44	48	46	54	14	22	36	44
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(162)	(298)	(228)	(521)	(284)	(639)	(264)	(932)	(113)	(209)	(1131)	(2599)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table J. Contract**

	PERCENTAGES OF RESPONDENTS					
	Chief Executives	Children's Services	Adult & Community Services	Neighbourhood Services	Regeneration & Planning Services	Total *
Permanent	92	90	81	89	73	86
Fixed term / temporary for a year or more	4	9	10	8	21	9
Fixed term / temporary for less than a year / casual	4	1	10	3	6	5
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(164)	(228)	(283)	(263)	(114)	(1131)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table K. Pay scale**

	PERCENTAGES OF RESPONDENTS											
	Chief Executives		Children's Services		Adult & Community Services		Neighbourhood Services		Regeneration & Planning Services		Total	
	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey	Actual	Survey *	Actual
Band 1-8, craft worker, modern apprentice, or sessional youth worker	40	58	32	39	49	63	60	83	21	35	45	63
Band 9-12, permanent youth worker	39	26	27	30	29	24	26	13	53	45	32	23
Band 13-15, Soulbury or teacher or chief officer	18	14	31	18	16	9	7	4	21	16	18	10
Other	3	2	9	13	5	4	7	0	5	4	6	4
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(156)	(298)	(201)	(521)	(258)	(639)	(228)	(932)	(108)	(209)	(1008)	(2599)

\* 'HBC Total' includes respondents who did not say what department they were in.



**Table L. Internet access**

	PERCENTAGES OF RESPONDENTS					
	Chief Executives	Children's Services	Adult & Community Services	Neighbourhood Services	Regeneration & Planning Services	Total *
Have access to internet at work and home	83	68	61	40	84	62
Have access to internet at work only	12	12	13	9	12	11
Have access to internet at home only	2	14	20	31	2	17
No access to internet at work or home	3	5	6	21	3	10
<b>TOTALS</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>
(No.)	(163)	(226)	(284)	(265)	(113)	(1129)

\* 'HBC Total' includes respondents who did not say what department they were in.

**Table M. Department**

	<b>PERCENTAGES OF RESPONDENTS</b>	
	<b>Survey</b>	<b>Actual</b>
Chief Executive	15	6
Children's Services	21	11
Adult & Community Services	27	14
Neighbourhood Services	25	20
Regeneration & Planning Services	11	5
Schools	/	44
<b>TOTALS</b>	<b>100</b>	<b>100</b>
(No.)	(1167)	(4629)

**Table N. Chief Executive Department by section**

	<b>PERCENTAGES OF RESPONDENTS</b>	
	<b>Chief Executives</b>	
	<b>Survey</b>	<b>Actual</b>
Corporate Strategy	18	15
Legal	6	4
Finance	49	52
Human resources	25	29
Not sure w hich section	3	0
<b>TOTALS</b>	<b>100</b>	<b>100</b>
(No.)	(154)	(298)

**Table O. Children's Services Department by section**

	PERCENTAGES OF RESPONDENTS	
	Children's Services	
	Survey	Actual
Performance & Achievement	17	14
Resources & Support Services	30	26
Safeguarding & Specialist Services	18	23
Planning & Service Integration	24	37
Not sure w hich section	12	0
<b>TOTALS</b>	<b>100</b>	<b>100</b>
(No.)	(220)	(521)

**Table P. Adult & Community Services Department by section**

	PERCENTAGES OF RESPONDENTS	
	Adult & Community Services	
	Survey	Actual
Community Services	53	42
Support Services	14	8
Adult Social Care	30	50
Not sure w hich section	4	0
<b>TOTALS</b>	<b>100</b>	<b>100</b>
(No.)	(281)	(639)

**Table Q. Neighbourhood Services Department by section**

	PERCENTAGES OF RESPONDENTS	
	Neighbourhood Services	
	Survey	Actual
Neighbourhood management	43	77
Public Protection	9	4
Service Development	3	2
Finance & Business Development	2	1
Technical Services	24	9
Procurement & Property Services	8	6
Emergency Planning	2	1
Not sure w hich section	9	0
<b>TOTALS</b>	<b>100</b>	<b>100</b>
(No.)	(249)	(932)

**Table R. Regeneration & Planning Services Department by section**

	PERCENTAGES OF RESPONDENTS	
	Regeneration & Planning Services	
	Survey	Actual
Community Strategy	3	5
Regeneration	16	13
Community Safety & Prevention	20	25
Planning & Economic Development	32	33
Support Services	7	11
Housing	13	13
Not sure w hich section	9	0
<b>TOTALS</b>	<b>100</b>	<b>100</b>
(No.)	(114)	(209)

<b>DRAFT ACTION PLAN</b>					
<b><u>Covalent Reference (if applicable)</u></b>	<b><u>Action</u></b>	<b><u>Start date</u></b>	<b><u>Due date</u></b>	<b><u>Assigned to</u></b>	<b><u>Manager</u></b>
<b>Business Transformation</b>					
	Increase BT information generally available via Newswire, intranet etc	30/06/2009	Ongoing	Alan Dobby	Andrew Atkin
	Develop BT drop in sessions for harder to reach groups and lower tiers	31/08/2009	30/09/2009	Alan Dobby	Andrew Atkin
	BT Communications Plan targeting specific groups affected by each development	30/06/2009	Ongoing	Alan Dobby	Andrew Atkin
	Consider BT Focus Group to gauge effectiveness of communications	31/07/2009	Ongoing	Alan Dobby	Andrew Atkin
<b>Family Friendly and Flexible Working</b>					
CORP OD	Review flexible working arrangements	01/08/2009	31/03/2010	Alison Swann	Joanne Machers
	Review & update flexible working policy & procedures	01/08/2009	31/12/2009	Gillian Laight	Alison Oxley
	Agree flexible working review timetable	01/08/2009	31/12/2009	Gillian Laight	Alison Oxley
	Make revised flexible working policies & procedures accessible to employees	01/08/2009	31/12/2009	Gillian Laight	Alison Oxley
	Marketing/Publicity of revised flexible working policies & procedures	01/01/2010	31/03/2010	Gillian Laight	Alison Oxley
CEDP A923.15	Monitor & analyse flexible working data	01/04/2009	31/03/2010	Alison Oxley	Joanne Machers
	Report flexible working data to Portfolio holder as part of a separate report	01/03/2010	31/03/2010	Alison Oxley	Joanne Machers
<b>Team Meetings</b>					
	Publicise through management matters links to e-learning courses around carrying out effective team meetings	30/09/2009	31/07/2010	Rachel Smith	Lucy Armstrong

	Promote the value and importance of conducting regular team meetings in the Corporate Induction Course and other appropriate Leadership and Management Development Programmes	30/09/2009	31/07/2010	Rachel Smith	Lucy Armstrong
	Promote a series of 'top tips/fast facts' via the Corporate Workforce Development Update around carrying out effective team meetings	30/09/2009	31/07/2010	Rachel Smith	Lucy Armstrong
<b>Appraisal and Training</b>					
	System needed to track appraisal and training reviews are taking place through Resourcelink	31/12/2009	31/03/2010	Lucy Armstrong	Wally Stagg
	Introduce revised appraisal scheme building upon the good practice and strengths of the existing one as part of the new people framework arrangements	30/09/2009	31/03/2010	Lucy Armstrong	Wally Stagg
	Training and developed to be targeted directly to development needs – assessment of need to be incorporated into revised appraisal process	31/12/2009	31/03/2010	Lucy Armstrong	Wally Stagg
<b>Whistle Blowing</b>					
	Further WB article to appear in Newsline/Management Matters	01/11/2009	31/03/2010	Peter Devlin	Peter Devlin
	Further circular to "All HBC staff" indicating that the revised procedure is on the intranet	30/09/2009	31/03/2010	Peter Devlin	Peter Devlin
	Incorporate WB into the Academy process, as well as the general induction and training of staff and Members of the Authority.	30/09/2009	31/07/2010	Lucy Armstrong	Wally Stagg
	Consider extending the remit of Standards Committee (Article 9 of the Constitution refers) to include WB and the monitoring of use/application. Such a 'constitutional' change should also engage the Constitutional Working Group and Committee, through reports and recommendations in looking at such a role and remit.	31/10/2009	31/07/2010	Peter Devlin	Peter Devlin
<b>Unfair Treatment</b>					
	Promote Employee Support Policy through training to all Managers, Supervisors	30/09/2009	31/03/2011	Lucy Armstrong	Wally Stagg

	Publicise the reporting mechanisms for unfair treatment through Newline, Management Matters	30/11/2009	31/03/2010	Vijaya Kotur	Wally Stagg
	Identify unfair treatment 'hot-spots' and reasons without identifying individuals and refer these to DMT's to address	30/09/2009	31/12/2009	Vijaya Kotur	Wally Stagg
	Child and Adults department addresses unfair treatment 'hot-spots' and reasons	01/01/2010	30/04/2010	Director	Director
	Regeneration and Neighbourhoods department addresses unfair treatment 'hot-spots' and reasons	01/01/2010	30/04/2010	Director	Director
	Chief Executive's department addresses unfair treatment 'hot-spots' and reasons	01/01/2010	30/04/2010	Joanne Machers	Joanne Machers
	Analyse the reasons for unfair treatment and identify any corporate actions needed to address these	01/01/2010	30/04/2010	Vijaya Kotur	Wally Stagg
	Ensure HR Operations employees are trained to support unfair treatment 'hot spot' areas	30/09/2009	31/12/2009	Alison Oxley	Joanne Machers
	Consider Employee Support Policy as topic for CMT Briefings and/or via Communication Messages	30/09/2009	30/09/2009	Joanne Machers	Joanne Machers
<b>A good Employer</b>					
	Develop and implement a programme which would: -increase how many employees feel valued encourage employees to 'speak up' about issues and ideas	30/09/2009	31/12/2009	Julie Wilson	Wally Stagg
	Incorporate 'supportive' responsibilities into People Framework for managers.	31/07/2009	30/09/2009	Lucy Armstrong	Wally Stagg
<b>Internal Communications</b>					
	Incorporate 'managing team meetings' into People Framework for managers.	31/07/2009	30/09/2009	Lucy Armstrong	Joanne Machers
	Require team meetings agendas/notes/minutes to be made available to staff electronically and/or shared appropriately	30/09/2009	31/10/2009	Lucy Armstrong	Wally Stagg
	Review and relaunch managers communication channels	31/07/2009	30/09/2009	Lucy Armstrong	Wally Stagg
	Develop corporate staff suggestion scheme and publicise it	30/09/2009	31/10/2009	Lucy Armstrong	Wally Stagg/CMT
	Develop HR Portal once new website developed	30/09/2009	31/10/2009	Lucy Armstrong	Wally Stagg

	Programme of reminders to employees about internet/email policy	30/09/2009	On-going	HR Operations	Alison Oxley
<b>Leadership and Change</b>					
	Programme to raise the profile and plans of senior politicians and senior managers	31/08/2009	On-going	Public Relations	Alastair Rae
<b>Managing pressure of work</b>					
OD14.4.2.1.2.1	Analyse the Employee survey data from the survey and identify priorities for further investigation.	01/07/2009	30/09/2009	Stuart Langston	Joanne Machers
OD14.4.2.1.2.2	Review Stress Action Plan in light of Focus group outcomes	01/11/2009	30/11/2009	Stuart Langston	Joanne Machers
OD14.4.2.1.2.3	Stress action plan approved by CMT and publicised to employees.	01/12/2009	31/12/2009	Stuart Langston	Joanne Machers
OD14.4.2.1.3	Review stress action plan to establish if all actions have been completed	01/05/2010	31/05/2010	Stuart Langston	Joanne Machers
OD14.4.2.1.4.1	Assess performance measures to determine effectiveness of the improvements identified within the stress action plan.	01/09/2010	30/09/2010	Stuart Langston	Joanne Machers
OD14.4.2.1.4.2	Evaluate the effectiveness of the solutions implemented as part of the stress action plan.	01/09/2010	30/09/2010	Stuart Langston	Joanne Machers
OD14.4.2.1.4.3	Report the findings of the stress action plan evaluation to CMT	01/10/2010	31/10/2010	Stuart Langston	Joanne Machers
<b>Managing Health, Safety &amp; Welfare</b>					
CORP OD14.4.	Develop and implement a Wellbeing Strategy	01/04/2009	31/03/2011	Stuart Langston	Joanne Machers
CORP OD14.4.	Implement Strategic Health, Safety and Wellbeing Action Plan	01/04/2009	31/03/2011	Stuart Langston	Joanne Machers
<b>Violence and Aggression</b>					