

Notice of Meeting

People, Performance and Development Committee



Date & time
Tuesday, 12 May
2015
at 11.00 am

Place
Committee Room C,
County Hall, Kingston
upon Thames, Surrey
KT1 2DN

Contact
Cheryl Hardman
Room 122, County Hall
Tel 020 8541 9075

Chief Executive
David McNulty

cherylh@surreycc.gov.uk

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This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Cheryl Hardman on 020 8541 9075.

Members

Mr David Hodge (Chairman), Mr Peter Martin (Vice-Chairman), Ms Denise Le Gal, Mr Stuart Selleck, Mr Richard Walsh and Mrs Hazel Watson

Ex Officio:

Mr David Munro (Chairman of the County Council) and Mrs Sally Ann B Marks (Vice Chairman of the County Council)

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING: 2 APRIL 2015

(Pages 1
- 4)

To agree the minutes as a true record of the meeting.

3 DECLARATIONS OF INTEREST

To receive any declarations of disclosable pecuniary interests from Members in respect of any item to be considered at the meeting.

Notes:

- In line with the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, declarations may relate to the interest of the member, or the member's spouse or civil partner, or a person with whom the member is living as husband or wife, or a person with whom the member is living as if they were civil partners and the member is aware they have the interest.
- Members need only disclose interests not currently listed on the Register of Disclosable Pecuniary Interests.
- Members must notify the Monitoring Officer of any interests disclosed at the meeting so they may be added to the Register.
- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest.

4 QUESTIONS AND PETITIONS

To receive any questions or petitions.

Notes:

1. The deadline for Member's questions is 12.00pm four working days before the meeting (*6 May 2015*).
2. The deadline for public questions is seven days before the meeting (*5 May 2015*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 ACTION REVIEW

(Pages 5
- 8)

An action review table is attached, detailing actions from previous meetings. The Committee is asked to review progress on the items listed.

6 OFFICER CODE OF CONDUCT AMENDMENT

(Pages 9
- 20)

Following an Internal Audit Report on "Organisational Ethics", the officer code of conduct has been reviewed and an addition is recommended.

7 APPRAISAL COMPLETION UPDATE REPORT 2013/14

(Pages
21 - 28)

To provide an update on the progress made towards Surrey County Council achieving 100% of eligible appraisals by May 2015.

8 EXCLUSION OF THE PUBLIC

Recommendation: That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information under the relevant paragraphs of Part 1 of Schedule 12A of the Act.

**PART TWO
IN PRIVATE**

9 SENIOR PAY POLICY EXCEPTIONS REPORT MAY 2015

(Pages
29 - 36)

The People, Performance and Development Committee (PPDC) acts as the council's Remuneration Committee under delegated powers, in accordance with the constitution of the County Council.

The purpose of this paper is to highlight decisions taken / recommendations on Pay that fall outside the published Pay Policy.

Confidential: Not for publication under Paragraph 1, 4

Information relating to any individual.

Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under the authority.

10 PUBLICITY FOR PART TWO ITEMS

To consider whether the items considered under Part 2 of the agenda should be made available to the Press and the public.

11 DATE OF NEXT MEETING

The next meeting of People, Performance and Development Committee will be on 17 July 2015.

David McNulty
Chief Executive
Published: Friday 1 May 2015

MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE

Those attending for the purpose of reporting on the meeting may use social media or mobile devices in silent mode to send electronic messages about the progress of the public parts of the meeting. To support this, County Hall has wifi available for visitors – please ask at reception for details.

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It is requested that if you are not using your mobile device for any of the activities outlined above, it be switched off or placed in silent mode during the meeting to prevent interruptions and interference with PA and Induction Loop systems.

Thank you for your co-operation

MINUTES of the meeting of the **PEOPLE, PERFORMANCE AND DEVELOPMENT COMMITTEE** held at 10.00 am on 2 April 2015 at Room 107 - County Hall.

These minutes are subject to confirmation by the Committee at its meeting.

Elected Members:

Mr David Hodge (Chairman)
Mr Peter Martin (Vice-Chairman)
Mr Stuart Selleck
Mrs Hazel Watson

Apologies:

Ms Denise Le Gal
Mr Richard Walsh

In Attendance

Vicky Hibbert, Cabinet Business Manager
Carmel Millar, Director of People and Development
Ken Akers, Strategic HR Relationship Manager
Mark Irons, Head of Customer Services and Customers and Communities Directorate Support

22/15 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS [Item 1]

Apologies were received from Ms Le Gal and Mr Walsh.

23/15 MINUTES OF THE PREVIOUS MEETING: 6 MARCH 2015 [Item 2]

The Minutes were approved as an accurate record of the meeting.

24/15 DECLARATIONS OF INTEREST [Item 3]

There were none. However, the Chairman apprised Members of the Committee on a judgement that had made in Bournemouth Crown Court regarding declarations of interest and Members requested that the Director of People and Development, in conjunction with the Director of Legal and Democratic Services, review the training offer for all Members on interests (**Action Review ref: A5/15**).

25/15 QUESTIONS AND PETITIONS [Item 4]

There were none.

26/15 ACTION REVIEW [Item 5]**Declarations of interest:**

None.

Witnesses:

Carmel Millar, Director of People and Development
Ken Akers, Strategic HR Relationship Manager
Mark Irons, Head of Customer Services and Customers and Communities Directorate Support

Key points during the discussion:

1. In relation to A19/14 (sleeping in payments), a copy of the letter sent to the LGA will be sent to Members of the Committee.
2. In relation to A2/15 (Think Resident Think Councillor), the Chairman requested that a training programme is set up for officers with a particular focus on how to respond to residents.

Actions/Further information to be provided:

- i. The Director of People and Development will feed the Chairman's comments into the Think Resident Think Councillor report scheduled to be considered by the Committee at a future meeting.
- ii. The action tracker will be updated to reflect the points raised during the discussion.

RESOLVED:

To note the tracker.

Committee next steps:

None.

27/15 CUSTOMER PROMISE - THE COUNCIL'S COMMITMENT TO DELIVERING EXCELLENT RESIDENT SERVICE [Item 6]

Declarations of interest:

None.

Witnesses:

Mark Irons, Head of Customer Services and Customers and Communities
Directorate Support
Carmel Millar, Director of People and Development

Key points during the discussion:

1. Members were very supportive of the new Customer Promise and were pleased to note that this linked to the resident experience goal within the Corporate Strategy.
2. Members queried how the messages from the new document will be cascaded throughout the organisation and raised concerns about current systems and processes.
3. Officers confirmed that leadership is critical in taking the new Customer Promise forward and that work had been undertaken with senior managers on this.
4. Members requested that the document be made available in all Surrey County Council buildings and that a copy be sent to all County Councillors.

Actions/Further information to be provided:

- i. The Head of Customer Services agreed to circulate a promotional video on the new Customer Promise to Members of the Committee **(Action Review ref: A6/15)**.

RESOLVED:

To endorse the new Customer Promise and the proposed approach to improving resident experience.

Committee next steps:

None.

28/15 EXCLUSION OF THE PUBLIC [Item 7]

RESOLVED: That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information under paragraph 1 of Part 1 of Schedule 12A of the Act.

29/15 SENIOR PAY POLICY EXCEPTIONS REPORT APRIL 2015 [Item 8]

Declarations of interest:

None.

Witnesses:

Carmel Millar, Director of People and Development
Ken Akers, Strategic HR Relationship Manager

Key points during the discussion:

1. The Chairman introduced the report and invited discussion on each section in turn. The committee asked a number of questions which were responded to by the officers present, before moving to the recommendations.

Actions/Further information to be provided:

None.

RESOLVED:

Recommendations 1.1 to 1.4 in the confidential report were APPROVED.

Committee next steps:

None.

30/15 PUBLICITY FOR PART TWO ITEMS [Item 9]

RESOLVED: That items considered under Part 2 of the agenda should remain confidential and not be made available to the press and public.

31/15 DATE OF NEXT MEETING [Item 10]

The date of the next meeting was noted.

Meeting ended at: 11:00am

Chairman



**People, Performance and Development Committee
12 May 2015**

ACTION REVIEW

PURPOSE OF REPORT:

For Members to consider and comment on the Committee's actions tracker.

INTRODUCTION:

An actions tracker recording actions and recommendations from previous meetings is attached as **Annex A**, and the Committee is asked to review progress on the items listed.

RECOMMENDATION:

The Committee is asked to monitor progress on the implementation of actions from previous meetings (Annex A).

REPORT CONTACT: Cheryl Hardman, Regulatory Committee Manager
020 8541 9075
cherylh@surreycc.gov.uk

Sources/background papers: None

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People, Performance & Development Committee – ACTION TRACKING

ACTIONS

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A2/15	6 March 2015	Action Review	The Director of People and Development to bring a paper to committee on how to reinforce the Think Resident Think Councillor message from the 2014 campaign.	Director of People and Development/ Democratic Services Lead Manager	To be scheduled and to include a training programme for officers on how to respond to residents.
A3/15	6 March 2015	Employee Engagement Campaign	That officers report back to the committee later in the year with an update on the campaign.	Director of People and Development	To be scheduled.
A5/15	2 April 2015	Declarations of Interest	Officers review the training offer for all Members on interests.	Director of People and Development/ Director of Legal and Democratic Services	Training will be provided following the by-election to capture the newly elected Member.
A6/15	2 April 2015	Customer Promise – The Council’s Commitment to Delivering Excellent Resident Service	The Head of Customer Services to circulate a promotional video on the new Customer Promise.	Head of Customer Services and Head of Customer and Communities Directorate Support	The video will be put on You Tube and will be able to be viewed internally and externally if people have the link. A link will be provided after the report has been approved by Cabinet.

People, Performance & Development Committee – ACTION TRACKING

COMPLETED

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A19/14	18 December 2014	Reward Strategy Review 2014-18	Officers to draft a letter to the LGA requesting support in changing legislation to mitigate the risks arising from the new 'sleeping in payments' case law.	Director of People and Development	A letter has been sent to the LGA and a copy sent to members of the committee.
A1/15	27 January 2015	Appraisal Completion Update Report for 2013/14	Officers to provide a further progress report in May 2015 and that the progress report specifically addresses the situation in the Schools and Learning Service.	Director of People and Development	On the agenda for 12 May 2015.



People, Performance and Development Committee
12 May 2015

Officer Code of Conduct amendment

Purpose of the report:

Following an Internal Audit Report on “Organisational Ethics”, the officer code of conduct has been reviewed and an addition is recommended.

This report is being brought to People, Performance and Development Committee to report the changes made as a result of the audit.

Recommendations:

It is recommended that the People Performance and Development Committee endorse the proposed amendment to the Officer Code of Conduct policy to the Council.

Introduction:

1. Working in the service of the public requires a high standard of ethics and values from officers of the council. The purpose of the Code of Conduct is to set out what those standards are and to help employees support the County Council’s aim to provide high quality services fairly and efficiently in line with its values of listening, responsibility, trust and respect.
2. The Code of Conduct applies to all employees of the County Council, agency workers, contractors and their staff whilst working for, or on behalf of, the Authority.
3. Following an internal audit report on “organisational ethics” it has been requested that we make an amendment to the policy to ensure that officers are aware of the recognised ethics of public service.

Seven standards of public service

4. It is recommended that the following addition is made to the Officer code of conduct:

“The Council needs to ensure its decisions and operations are open, accountable and in line with recognised ethical standards. Officers of the Council are therefore required to be aware of and act in accordance with The Seven Standards of Public Life, which are:

Selflessness - Officers and members should act solely in terms of the public interest;

Integrity - Officers and members should avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work;

Objectivity - Actions and decisions should be taken impartially, fairly and on merit using the best evidence and without discrimination;

Accountability - Officers and members are accountable to the public and submit themselves to the scrutiny necessary to ensure this;

Openness - Actions and decisions should be taken in an open and transparent manner and information should not be withheld from the public unless there are clear and lawful reasons for so doing;

Honesty - Officers and members should be truthful; and

Leadership - Officers and members should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.”

Conclusions:

5. The 7 standards of Public service to be added to the code of conduct – see appendix 1 section 2

Financial and value for money implications

6. There is no cost to the proposals.

Equalities and Diversity Implications

7. The Code of Conduct applies to all employees of the County Council, agency workers, contractors and their staff whilst working for, or on behalf of, the Authority.

Risk Management Implications

8. N/A

Next steps:

- A report recommending an amendment to the Officer Code of Conduct will be considered at Council on 19 May 2015.
 - Code of conduct to be updated
 - Snet to be updated
 - Code of conduct to be publicised.
-

Report contact: Carmel Millar, Director of People and Development

Contact details: carmel.millar@surreycc.gov.uk

Sources/background papers:

Internal audit “organisational ethics”

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Officer Code of Conduct

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1 Welcome to the Code of Conduct Policy

The purpose of this Code is to help employees support the County Council's aim to provide high quality services fairly and efficiently in line with its values of listening, responsibility, trust and respect. Members have their own Code of Conduct and there is also protocol which outlines how members and officers work together.

The Code of Conduct applies to all employees of the County Council, agency workers, contractors and their staff whilst working for, or on behalf of, the Authority.

Any breach of the Code of Conduct will be regarded as a disciplinary offence and may be taken into account in performance appraisal.

2 Organisational Ethics

The Council needs to ensure its decisions and operations are open, accountable and in line with recognised ethical standards. Officers of the Council are therefore required to be aware of and act in accordance with The Seven Standards of Public Life, which are:

Selflessness - Officers and members should act solely in terms of the public interest;

Integrity - Officers and members should avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work;

Objectivity - Actions and decisions should be taken impartially, fairly and on merit using the best evidence and without discrimination;

Accountability - Officers and members are accountable to the public and submit themselves to the scrutiny necessary to ensure this;

Openness - Actions and decisions should be taken in an open and transparent manner and information should not be withheld from the public unless there are clear and lawful reasons for so doing;

Honesty - Officers and members should be truthful; and

Leadership - Officers and members should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

3 Personal Conduct

The Council expects all employees to promote and maintain high standards of personal conduct to sustain the good reputation of the Council and its services.

- i) Employees **must** perform their duties to the highest possible standards, with **honesty, integrity and impartiality**, and be **accountable** for their own actions.
- ii) Employees have a **duty of trust** to the County Council as their employer, and to the local community and service users.
- iii) Employees are expected to treat others with respect, fairness and dignity at all times and to work to resolve differences where these exist.
- iv) Employees have a collective **responsibility** to communicate to the appropriate manager any concerns about the quality of service provided, as this will assist the County Council to ensure that service standards are achieved, and areas for improvement identified.
- v) Employees are expected to apply the Code of Conduct and other Council policies to their use of work related social media. Where an employee identifies themselves as a SCC employee the

same rules that apply to actions in general, apply to conduct online, including on personal social media sites.

Further information about the way that we work and our shared organisational values is set out on s-net.

4 Compliance with County Council Instructions

The Council expects all employees to comply with lawful written and oral instructions.

This will ensure that we take a consistent approach across the County Council in relation to how we procure services and goods, carry out people management activities and how we approach financial management.

The relevant procedures and instructions are published on snet – see [related information](#).

4 Health and Safety

The Council has a legal duty of care for the health, safety and welfare of its employees. In addition, all employees must take reasonable steps to protect their own health and safety and that of other people who may be affected by their work. Some employees, particularly managers, have specific responsibilities and these are detailed in the Council's safety policies and procedures. The Council's Health and Safety Policy and Manual are published on the website

5 Treatment of Information

The treatment of information falls into two different areas:

- a) **Information relating to the County Council**, its business and its employees, that is made available to employees in the course of their duties and which they may need to disclose
- b) **Information that all employees must declare to the County Council**, as their employer, regarding any **Personal Interests** and/or **Outside Commitments** that may conflict or impact on matters in which the authority has an interest.

Handling and Treatment of Information relating to the County Council

It is generally accepted that open government is best. All employees **should** be aware as to what information should be made available to Members, auditors, government departments, service users and the public, and **which information should remain confidential**. Any information made available **should** be provided in a clear and concise way.

Employees **should not use any information** gained in the course of their employment for **personal gain**, or pass it on to others who might use it in such a way. Information concerning a service user, resident, employee's or Member's personal affairs **should not** be divulged without prior approval, except where that disclosure is required or sanctioned by law. It is important that employees take all relevant steps to comply with data protection requirements and ensure that confidential information is kept secure. For further information you **should** read the [Information governance](#) guidance.

Declaring Personal Interests and Outside Commitments

All employees **must declare**:

- i. Any non-financial or financial interest which might conflict with the authority
- ii. Membership of any organisation that is **not open to the public** without formal membership and commitment of allegiance and which has secrecy about rules, membership, or conduct

- iii. Membership of **other groups, clubs and societies**, , that an employee believes could be relevant to declare in particular circumstances.

Declarations should be made to Heads of Service who should ensure that a written record is made on the employee's personnel file. Declarations **must** extend to acknowledging the involvement of a relative or partner of an employee in an organisation in which the County does or seeks to do business, particularly if they are directors, partners or hold senior managerial positions in those organisations.

Employees **should** be aware of any **contractual restrictions** on taking outside employment. In any case, outside employment **should** not be taken which conflicts with the council's interests.

For guidance see [Conflict of interest](#).

Where employees are in any doubt about whether any personal relationships, interests, or outside commitments **should** be declared in particular circumstances, they **should** either declare the information in any case, or else seek further advice from their manager or HR by contacting Shared Services by phone on 0208 541 9000 or e-mail myhelpdesk@surrycc.gov.uk.

Declaring Related Party Transactions

The County Council is obliged to fulfil a disclosure requirement in respect of related party transactions. This reporting requirement aims to provide assurance to readers of financial statements that any material transactions entered into between the organisation and those in a position of power to influence its decisions are disclosed and above board.

Senior Managers Levels 1 – 4, **must declare**:

- I. Positions of influence they hold within partnerships, companies, trusts or any entities providing services to the County Council
- II. Positions of influence they hold (in a personal capacity) within organisations receiving grant funding from the County Council.

Declarations **must** extend to a relative or partner of the employee if they have an interest in any such organisation. Senior Managers Level 1 – 4 will be required to declare this and complete an annual return.

Whistleblowing

Where an employee becomes aware of activities which that employee believes to be illegal, improper, unethical or otherwise inconsistent with the code of conduct for employees, the employee should report the matter in line with the council's confidential reporting procedure – see [Whistleblowing](#).

Employees who blow the whistle have specific protections afforded them under the Public Interest Disclosure Act 1998

6 Working Relationships

Internal and external relationships with colleagues, service users and contractors **should** be conducted in a professional, friendly and respectful manner.

Members

Mutual respect between employees and members is **essential** to good local government. **Close personal familiarity** between employees and individual members can damage the relationship and **should** therefore be **avoided**.

For further information about working relationships between officers and members please see the [Members/Officers protocol](#)

Political Neutrality

- i. Members are elected to direct the policies and activities of Surrey County Council. **Employees should** ensure they **serve all members**, not just those of the controlling group, and respect their individual rights.
- ii. Employees **should** ensure that their own **personal or political opinions should not interfere** with any policy of the authority. Where employees advise political groups, **political neutrality must be retained**.

(Political assistants appointed on fixed term contracts in accordance with the Local Government and Housing Act 1989 are exempt from political neutrality).

Certain posts are designated as politically restricted by the Local Government and Housing Act 1989. Your contract of employment will tell you whether you hold one of these posts and, if you do, you will be required by law to observe certain restrictions regarding your out of work activities. For further information see the [Politically restricted posts](#) protocol.

Employment Matters

Employees **should** not be involved in an appointment, or be involved in any decision relating to discipline, promotion or any pay adjustments or conditions of another employee, or prospective employee to whom they are related or have a close personal relationship. Employees **must** ensure compliance with all the County Council's employment policies.

The Local Community & Service Users

Employees **should** ensure courteous, efficient and impartial service delivery to all.

Equality Issues

- i. Employees **must** ensure compliance with the County Council's **Equalities Statement** and other employment policies in relation to equality issues.
- ii. Employees **should** not be involved in **harassment or bullying** against colleagues, other employees or job applicants. All members of the local community have a right to be treated with **fairness and equality**.

7 Contractors and Competitive Tendering

Contractors may include individuals who are temporarily working alongside County Council employees, or employees of an external firm that has been awarded a contract to provide services on behalf of the County Council. All Contractors **should** be treated with courtesy and respect.

Contractors

Any orders and contracts **must** be awarded by **fair and open competition** against other tenders. No special favour **should** be shown to businesses with particular connections to employees.

Employees **should declare any relationship** with a particular contractor, or any potential contractors, to the Head of Service and should not participate in any buying activity where these Conflicts of Interest could arise. See the [Procurement standing orders](#) for further information.

Separation of Roles During Competitive Tendering

- i. Employees **should** be clear on the separation of **client and contractor roles**. Senior employees who have both a client/contractor responsibility **must** be aware of the need for accountability and openness.
- ii. Employees privy to **confidential information** on tenders of costs relating to contractors **should** not disclose the information to any unauthorised party or organisation.

- iii. Employees **should** ensure no special favour is shown to **current or recent former employees**, or associates, in awarding contracts.

8 Gifts, Hospitality, Sponsorship or Endorsements

County Council employees **should** exercise caution concerning the **acceptance of gifts or hospitality** from external suppliers and contractors; and any **involvement in sponsorship events**, or **endorsement of a product or service**, where there may be a **conflict of interest**.

Offers of Gifts, Hospitality or Sponsorship

- i. Employees **must** be aware that it is a **criminal offence** for them corruptly to receive any gift, loan, fee, reward or advantage for doing, or not doing anything, or showing favour, or disfavour, to any person in their official capacity. The **acceptance of gifts** and hospitality (including sponsorship of a local government activity) **must** be treated with **extreme caution**.
- ii. The receipt of minor articles, for example, **diaries and calendars** will not be regarded as the acceptance of a gift, although employees **should** not accept significant personal gifts from contractors and outside suppliers. Offers of **hospitality and invitations** **should** be accepted only if there is a genuine need to impart information or represent the local authority.
- iii. All gifts and hospitality should be properly recorded. In particular any offer over the value of £25 should be recorded. and can only be accepted if agreed by the Head of Service. Where an officer receives a series of gifts or hospitality from the same person or organisation in one year with a cumulative value of £100 or over, must be registered. No officer of the Council should continue to accept gifts or hospitality after the cumulative value of items reached in a single financial year reaches £200 or more.

Heads of Service should ensure that all of their staff are aware of the arrangements.

For further information about the information that needs to be recorded see the Gifts and hospitality policy

- iv. Where the **authority** wishes to sponsor an event, no employee **must** benefit in a direct way without there being **full disclosure** to an appropriate manager of any such interest. Where the authority gives support in the community through whatever means, employees **must** ensure that there is no **conflict of interest**.

Endorsements of a product or service

- i. Employees **must** exercise caution before providing any statement endorsing the quality or operation of any product or service that may be used for publicity purposes. Such endorsement may put the County Council at risk of misrepresentation or legal challenge. Employees are therefore advised to seek further advice from their manager where such circumstances arise.
- ii. In no circumstances **should** a statement ever be made in return for personal gift, or money.

For further information about the information that needs to be recorded [see Gifts and hospitality](#)

9 Use of the County Council's Materials, Equipment or Resources

Employees **should** not make personal use of any County Council property, facilities, materials, or resources unless properly authorised to do so.

Property and Resources

County Council property and resources **should** be used solely in respect of its work. No improper use **should** be made of any facility such as vehicles, equipment, stationery or secretarial services which the County Council provides for its own business.

The Authority recognises that there are times when calls must be made during working hours, for emergencies or to utility companies, for example. Reasonable usage of the telephone in these cases is permissible, but employees are expected to keep the length of call to the minimum possible.

Intellectual Property

Employees should follow County rules on the ownership of intellectual property or copyright created during their employment. Any invention, improvement or design made or conceived by you while you are engaged to work for the County Council which is in the existing, or contemplated, scope of the business of Surrey County Council shall become and remain the exclusive property of Surrey County Council.

Related information

Values	Behaviours	Members/Officers protocol
Equalities information	Conflict of interest	Gifts and hospitality
Politically restricted posts	Disclosing information	Health & Safety
IMT policies	Whistleblowing	Financial governance
Information governance	Procurement guidelines	

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People, Performance and Development Committee
12 May 2015

Appraisal Completion Update report for 2013/14

Purpose of the report: Performance Management

To provide an update on the progress made towards Surrey County Council achieving 100% of eligible appraisals by May 2015. Recommendation from Council Overview and Scrutiny Committee, Wednesday 30 April 2014 (Item 35/14).

Recommendation:

1. That the People Performance and Development Committee note the achievement of 98% completion of eligible appraisal conversations across the organisation.
2. That the committee continue to request reports for appraisal completion data on an annual basis.

Introduction:

1. Surrey County Council is a values led organisation. Having at least an annual review where leaders sit down with each individual member of staff and reflect on how the year has gone, is an essential part of our organisational culture. Previous years have seen appraisals completion rates of 62%. This was not in line with our values. This year our leaders and staff have achieved a 98% completion rate of eligible appraisal. See paragraphs 5.2 to 5.6 below which set out the position in relation to the 2% not completed.
2. Following recommendations from the Council Overview and Scrutiny Committee, Surrey County Council has achieved a 98% recorded completion of appraisals (or developmental conversations, eg supervision) for eligible staff.

3. Eligible staff are defined as 'All centrally employed staff within the organisation including Fire & Rescue and Commercial Services'. There are also specific exclusions around new starters (those still in their probation period), those on notice, bank staff, maternity leave and long-term sick absence.
4. Throughout this report figures and comments relate to those that would be eligible.
5. This report aims to update members of the People, Performance and Development Committee on:
 - a. The current appraisal completion rates and analysis.
 - b. How we will continue to work with Directorates to encourage annual 100% completion of appraisals
6. The diversity of the services within the Council has meant different time frames being adopted for appraisal. For example, some front line services (Commercial Services) are using a staggered approach throughout the year. However the majority of services work to a financial year cycle and appraise the previous financial year in Q1 of the next. Most services have moved towards this approach to completion of appraisals, but some areas of Children, Schools and Families (CSF) directorate work to the academic year.

Current completion rates and analysis

- 4.1 Surrey County Council currently has an appraisal completion rate of 98% for the 2013/14 year. (Excluding Commercial Services catering section and Registration & Nationality Services)
- 4.2 There have been exceptional circumstances for Commercial Services catering section affecting 888 staff. They have had to respond to the government's initiative for extending school meals for five year olds this year. This has resulted in an extraordinary increase in recruitment activity (400 extra posts recruited to and still recruiting) with the concomitant extra work load this brings in order to have got things up and running in time for a September 2014 start. The catering team were at risk of not being able to deliver meals on time at all schools and so a one off agreement has been reached in recognition of these extraordinary circumstances, to postpone the remainder of the catering appraisals into 2015/16. The Head of Commercial Services remains absolutely committed to getting her appraisals completed and this lee way will allow some much needed breathing space given the special circumstances.

- 4.3 Registration & Nationality Services have also been exempt from the final figure for 2013/14 in order to work on their appraisal process for the 2014/15 financial year appraisals. Tracey Fottrell took over as lead for Registration and Nationality Services in July 2014 (after the 2013/14 financial year). Prior to this time appraisals had not been undertaken consistently within the teams.

Tracey Fottrell also manages the Coroner's service which was in crisis this winter due to lack of mortuary space. At the same time, there were increases in business through the Registration Service which meant that Tracey Fottrell and her team had to make choices to prioritise residents and customers and to shift appraisals beyond the crises time of year. In order to ensure that the appraisals are a quality and worthwhile activity the exclusion was agreed for the 2013/14 reporting period. Tracy and her team are working closely with HR and OD to HR & OD to design a simplified appraisal form and provide training to her managers on how to conduct quality appraisals as well as managing the general leadership of the service.

Tracey and her team have committed to completing 2014/15 appraisals by the end of June to bring them in line with the rest of the organisation.

- 4.4 The breakdown of the Directorates is in the attached appendix A.
- 4.5 Since the last paper, the Schools and Learning Service have achieved an improvement of 63% to bring the Service to a current total of 99%.

Working to achieve 100% - Directorate approaches

- 5.1 Adult Social Care, Business Services, Customers & Communities and Environment & Infrastructure have all achieved 100% completion of appraisals.
- 5.2 **Chief Executive's Office** - CEO's office are currently reporting a 97% completion rate. The outstanding appraisals sit mainly within the Cultural Services team.
- 5.3 **Children, Schools and Families** - The current total of Appraisals for 2013/14 recorded for CSF (excluding Commercial Services catering) is 93%.
- 5.4 Children's Services has a large number of outstanding data for appraisals. This was identified late in the process and as such, they have not had as much time as other areas to submit their data. Children's Social Workers currently use a different appraisal recording process due to the link to pay. The process of how this data is gathered will be looked at for future years to ensure any gaps are identified at an earlier point.
- 5.5 Some outstanding appraisals are also due to staff movement within different teams and Directorates. This is particularly prevalent when staff are transitioning around the time of appraisal completion (April to June).

- 5.6 This has highlighted a need to ensure that managers undertake staff appraisals before someone either leaves the team or goes on secondment. HR and OD will review the current guidance and look at how services can monitor this for future years.
- 5.7 Colleagues in ICT are working on a visual display which managers will be able to access directly in the portal. This will inform each manager how many appraisals in their teams have been completed in any given year.

Conclusions:

- 8.1 Good leadership has been proven to achieve the completion of appraisals. Achieving 98% completion of appraisals is an example of successful collaboration between HR and other departments across Surrey County Council.
- 8.2 This drive has been due to the commitment to ensure all staff are given the opportunity to have an appraisal or performance conversation.

Financial and value for money implications

- 8.3 There are no financial and value for money implications.

Equalities and Diversity Implications

- 8.4 There are no equality and diversity implications.

Risk Management Implications

- 8.5 There are no risk management implications.

Next steps

- 9.1 Appraisal and performance will be a key part of the pay and reward project. The current process will be reviewed in order to ensure performance levels given are consistent and embedded across the organisation.
- 9.2 HR will be taking forward a piece of work looking at the quality of appraisal conversation, which will help to inform the pay and reward project.
- 9.3 An annual report date should be agreed to report back to PPDC on the organisation's completion rates. It is suggested that an October or November date would enable us to report back on both those areas that work to the financial year and the academic year.

Report contact: Carmel Millar, Director of People and Development

Contact details: carmel.millar@surreycc.gov.uk

Sources/background papers:

Appendix A – Breakdown of current appraisal completion figures

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Personnel Area	Personnel Subarea	Appraisals Completed	% Completed
Chief Executive Office	CEO	13	100.00%
Chief Executive Office	Communications	18	100.00%
Chief Executive Office	Cultural Serv	573	96.14%
Chief Executive Office	Legal&Demo Ser	83	95.40%
Chief Executive Office	Policy & Perf	31	100.00%
Chief Executive Office	Public Health	38	100.00%
	Total	756	96.55%

Personnel Area	Personnel Subarea	Appraisals Completed	% Completed
Childrens Sch & Fam Service	St Dir for CSF	10	100.00%
Childrens Sch & Fam Service	Resources	40	100.00%
Childrens Sch & Fam Service	Sch & Learning	368	99.46%
Childrens Sch & Fam Service	Childrens Serv	678	86.37%
Childrens Sch & Fam Service	Serv Yng People	279	98.59%
Childrens Sch & Fam Service	Comm Servs	218	100.00%
	Total (excl CS Catering.)	1593	93.38%

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