

Notice of Meeting

People, Performance and Development Committee



Date & time
Monday, 29
January 2018
at 3.00 pm

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

Contact
Andrew Baird
Room 122, County Hall
Tel 020 8541 7609

Chief Executive
Julie Fisher

andrew.baird@surreycc.gov.uk



We're on Twitter:
@SCCdemocracy

If you would like a copy of this agenda or the attached papers in another format, eg large print or braille, or another language please either call 020 8541 9068, write to Democratic Services, Room 122, County Hall, Penrhyn Road, Kingston upon Thames, Surrey KT1 2DN, Minicom 020 8541 8914, fax 020 8541 9009, or email democratic.services@surreycc.gov.uk.

This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Andrew Baird on 020 8541 7609.

Members

Mr David Hodge CBE (Chairman), Mr John Furey (Vice-Chairman), Mr Ken Gulati, Mr Mel Few, Mr Nick Harrison and Mrs Hazel Watson

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF PREVIOUS MEETINGS: 13 NOVEMBER 2017 AND 30 NOVEMBER 2017

(Pages 1
- 28)

To agree the minutes as a true record of the People, Performance and Development Committee meetings held on 13 November 2017 and 30 November 2017.

3 DECLARATIONS OF INTEREST

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter

- (i) Any disclosable pecuniary interests and / or
- (ii) Other interests arising under the Code of Conduct in respect of any item(s) of business being considered at this meeting

NOTES:

- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest
- As well as an interest of the Member, this includes any interest, of which the Member is aware, that relates to the Member's spouse or civil partner (or any person with whom the Member is living as a spouse or civil partner)
- Members with a significant personal interest may participate in the discussion and vote on that matter unless that interest could be reasonably regarded as prejudicial.

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 (*23 January 2018*).
2. The deadline for public questions is seven days before the meeting (*22 January 2018*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 ACTION REVIEW

(Pages
29 - 36)

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

6 FORWARD WORK PROGRAMME

(Pages
37 - 44)

For Members to review and comment on the Committee's Forward Work Programme.

- 7 APPRENTICESHIP LEVY AND PUBLIC SECTOR TARGET UPDATE** (Pages 45 - 60)
- This report is being brought to update Members of the People, Performance and Development Committee on the current status and progress to date on meeting the Government's Apprenticeship Levy and Public Sector Target duties for Surrey County Council.
- 8 GRIEVANCE OF POLICY REVIEW AND ADDITION TO SAFER EMPLOYMENT AND DBS POLICY** (Pages 61 - 94)
- The People, Performance and Development Committee is asked to consider and endorse a number of proposed modifications to Surrey County Council's Grievance Policy and Procedure which includes renaming it to the 'Grievance Resolution Policy and Procedure' (Annex 1) as well as noting an addition to the Safer Employment and DBS Policy of the Council (Annex 2).
- 9 ENDING EMPLOYMENT POLICY AND DYING TO WORK CHARTER** (Pages 95 - 110)
- The People, Performance and Development Committee is asked to consider and endorse the consolidation of a number of policies relating to the termination of employment relationships between Surrey County Council and its officers into a single document incorporating a reference to the 'Dying to Work Charter' which the Council aims to sign in due course.
- 10 POLICY STATEMENT ON VOICE RECORDING OF HR MEETINGS** (Pages 111 - 116)
- The People, Performance and Development Committee is asked to consider a proposal for Surrey County Council (SCC) to adopt a formal policy statement codifying a facility for employees to request permission to use audio recording devices at formal meetings which take place under the provisions of its employment procedures. This proposal has originated from the [then] Head of Paid Service and senior management within the Council who have asked officers in the Human Resources & Organisational Development Service to consider a potential solution following reports of staff requesting to record meetings.
- 11 HUMAN RESOURCES & ORGANISATIONAL DEVELOPMENT STRATEGY MEASURES 2017-2019** (Pages 117 - 136)
- This report provides the People, Performance and Development Committee with a summary of the results from the 2017 Staff Survey. This is the third Surrey County Council staff survey undertaken by Best Companies and includes helpful comparison data to the previous two years of engagement results.
- 12 2017 STAFF SURVEY RESULTS** (Pages 137 - 154)
- This report provides the People, Performance and Development Committee with a summary of the results from the 2017 Staff Survey. This is the third Surrey County Council staff survey undertaken by Best Companies and includes helpful comparison data to the previous two years of engagement results.
- 13 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

- 14 UPDATED REPORT ON ORGANISATIONAL CHANGE AND ITS IMPACT** (Pages 155 - 168)
- To provide the People, Performance and Development Committee with an updated report outlining the major staffing changes that have taken place over the last two financial years (2016/17 and 2017/18 to date) and the major changes currently being planned or implemented. To show what impact each of these changes has had, including what impact they have had on the size of the organisation in relation to staffing numbers and what action is being taken to mitigate the impact of changes on staff morale.
- Confidential: Not for publication under Paragraph 1**
Information relating to any individual.
- 15 PAY POLICY EXCEPTIONS - JANUARY 2018** (Pages 169 - 174)
- The purpose of this paper is to highlight decisions taken and recommendations on pay that fall outside the published Pay Policy Statement.
- This report includes a range of pay exceptions and staff related decisions that require decision.
- Confidential: Not for publication under Paragraph 1**
Information relating to any individual.
- 16 IMPACT OF NATIONAL LIVING WAGE ON SLEEPING-IN SHIFT PAYMENTS** (Pages 175 - 182)
- In April 2017 an employment appeals tribunal found that the national living wage (NLW) and national minimum wage (NMW) should have been paid for hours worked during a sleep-in shift.
- This report summaries information relating to the following areas:
- Surrey County Council's (SCC) response to the above ruling, together with the potential impact on staff
 - action taken by SCC managers to date
 - potential risks and cost impact for SCC
 - recommended action
- Confidential: Not for publication under Paragraph 1**
Information relating to any individual.

17 PUBLICITY OF PART 2 ITEMS

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

Confidential: Not for publication under Paragraph 1
Information relating to any individual.

18 DATE OF NEXT MEETING

The next meeting of People, Performance and Development Committee will be on 8 March 2018.

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MINUTES of the meeting of the **PEOPLE, PERFORMANCE AND DEVELOPMENT COMMITTEE** held at 9.00 am on 13 November 2017 at Member's Conference County Hall, Kingston upon Thames, KT1 2DN.

These minutes are subject to confirmation by the Committee at its meeting 29 January 2018.

Elected Members:

- * Mr David Hodge CBE (Chairman)
- * Mr John Furey (Vice-Chairman)
- * Mr Ken Gulati
- * Mr Mel Few
- * Mr Nick Harrison
- * Mrs Hazel Watson

* = In attendance

In Attendance

Ken Akers, Head of HR & OD
 Andrew Baird, Democratic Services Officer
 Helyn Clack, Cabinet Member for Health
 Martin Tucker, Chief Executive, Gatenby Sanderson Recruitment

94/17 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS [Item 1]

There were none.

95/17 DECLARATIONS OF INTEREST [Item 2]

There were none.

96/17 EXCLUSION OF THE PUBLIC [Item 3]

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 the relevant paragraphs of Part 1 of Schedule 12A of the Act.

97/17 APPOINTMENT OF CHIEF EXECUTIVE [Item 4]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD
 Martin Tucker, Chief Executive, Gatenby Sanderson Recruitment

Key points raised during the discussion:

1. Three interviews were conducted by the People, Performance and Development Committee for the position of Chief Executive. In each interview, the candidate delivered a presentation to the Committee after which Members asked a series of questions on the presentation. Each candidate then responded to a number of set questions asked by the Committee.
2. Following the end of the interviews, Members discussed the performance of each candidate in detail and agreed that Joanna Killian was the candidate who most clearly demonstrated the skills and experience necessary to be Chief Executive for Surrey County Council.

Actions/ further information to be provided:

None

RESOLVED:

The People, Performance and Development Committee agreed to recommend to Full Council that it appoints Joanna Killian to the role of Chief Executive at its meeting on 5 December 2017

98/17 PUBLICITY OF PART 2 ITEMS [Item 5]

It was agreed that the information in relation to the Part 2 items discussed at the meeting would remain exempt.

Meeting ended at: 4.15 pm

Chairman

MINUTES of the meeting of the **PEOPLE, PERFORMANCE AND DEVELOPMENT COMMITTEE** held at 2.10 pm on 30 November 2017 at County Hall, Kingston upon Thames, KT1 2DN.

These minutes are subject to confirmation by the Committee at its meeting on 29 January 2018.

Elected Members:

- * Mr David Hodge CBE (Chairman)
- Mr John Furey (Vice-Chairman)
- * Mr Ken Gulati
- * Mr Mel Few
- * Mr Nick Harrison
- * Mrs Hazel Watson

* = In attendance

In Attendance

Ken Akers, Head of HR & OD
 Andrew Baird, Democratic Services Officer
 Debbie Bala, Senior HR Advisor
 Lavern Dinah, Strategic OPD Manager
 Oonagh Dixon, Reward Advisor

99/17 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS [Item 1]

Apologies were received from Mr John Furey.

100/17 MINUTES OF THE PREVIOUS MEETING: 27 OCTOBER 2017 [Item 2]

Members of the People, Performance and Development Committee sought clarity from the Head of HR & OD on whether he had reported back to the Cabinet Member for Adult Social Care regarding dissatisfaction among staff within the Adult Social Care Directorate about the new appraisal process which had been raised by the Committee at its meeting on 27 October 2017. The Committee was informed by the Head of HR & OD that he had not had the opportunity to discuss these concerns in detail with the Strategic Director for Adult Social Care and Public Health following the meeting but would brief the Cabinet Member for Adult Social Care once this discussion had taken place.

The minutes were agreed as a true record of the meeting.

101/17 DECLARATIONS OF INTEREST [Item 3]

There were none.

102/17 QUESTIONS AND PETITIONS [Item 4]

There were none.

103/17 ACTION REVIEW [Item 5]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD

Andrew Baird, Democratic Services Officer

Key points from the discussion:

None

Actions/ further information to be provided:

None

RESOLVED:

The People, Performance and Development Committee noted progress on the implementation of the actions from previous meetings.

104/17 FORWARD WORK PROGRAMME [Item 6]**Declarations of interest:**

None

Witnesses:

Ken Akers, Head of HR & OD

Andrew Baird, Democratic Services Officer

Key points raised during the discussion:

1. An introduction was provided by officers who highlighted that there had been a number of additions to the Committee's Forward Work Programme since it was last agreed by Members at the People, Performance and Development Committee (PPDC) at its meeting on 27 October 2017. Specifically, Members were advised that an item had been added to the PPDC meeting in June 2018 for the Committee to discuss the progress of negotiations with trade unions regarding the Surrey Pay offer for 2018/19. The Committee was further informed that it had been necessary to postpone consideration of a number of items that were originally scheduled for consideration on 30 November 2017 and that these items had been distributed across future Committee meeting.
2. Further clarity was sought regarding the Termination of Employment Policy item which had been scheduled for consideration at the PPDC meeting in January 2018. In particular, Members asked for more detail about the 'Dying to Work Charter' mentioned within the summary that was included in the Forward Work Programme for that item. Officers

stated that this was a national initiative which established good practice for how employers supported members of staff diagnosed with a terminal illness. The Committee expressed their support for the principles of the 'Dying to Work Charter' initiative but asked officers to investigate the possibility of rebranding it before being introduced to Surrey County Council (SCC).

3. Members discussed the Council's flexibility in its terms and conditions of employment and asked officers whether a less rigid approach to employment would help SCC to recruit and retain staff more effectively thereby helping the Council to reduce the cost of employing agency staff. Members suggested that retaining some staff on more flexible contracts would help to support the Council's base workforce. Officers highlighted that the Council's arrangements in respect of bank contracts did provide a degree of flexibility although it was possible to consider establishing an associate pool to supplement bank contracts. The Committee agreed to receive a report on flexible pay and the Council's approach to working arrangements at its meeting on 26 April 2018.

Actions/ further information to be provided:

1. The Committee to consider a report on the Council's approach to flexibility on pay and working arrangements for staff where this could help to support the existing workforce

RESOLVED:

That the People, Performance and Development Committee review items that it is due to consider at future meetings.

105/17 EMBEDDING THE COUNCIL'S VALUES AND BEHAVIOURS [Item 7]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD
Lavern Dinah, Strategic OPD Manager

Key points raised during the discussion:

1. The Committee noted that SCC's Human Resources and Organisational Development Strategy was on the agenda for consideration by the Committee and inquired as to why work undertaken to embed the Behaviours Framework had not been included as part of this item. Officers stated that the HR & OD Strategy was a high level document and that there were a number of strands to actually implementing the strategy of which the Behaviours Framework was just one. It was therefore felt to be beneficial for Committee

Members to review the steps being taken to embed the Behaviours Framework in isolation rather than considering it as part of the wider HR & OD Strategy.

2. Members asked whether there was a role for the Behaviours Framework in supporting staff to remain motivated. Officers emphasised that the majority of staff are motivated by recognising their role in helping SCC to deliver its stipulated goals and that continuing to highlight these will contribute to staff remaining focused. The Committee was advised that the Behaviours Framework had been developed in consultation with a variety of stakeholders and that the aim of the report was to outline how the officers were embedding the Council's values and behaviours through the framework. An MC3 tool was deployed through the Staff Survey to provide feedback on SCC's managers. This tool can be used to support the embedding of the Behaviours Framework and to identify any areas that Learning & Development and Organisational Development need to focus on in work plans.
3. Further clarity was sought regarding the extent to which the Behaviours Framework applied to staff within the Orbis Partnership. Officers acknowledged that there were some challenges to embedding SCC's values within Orbis on account of it being an independent organisation. Staff within the Partnership were, however, aligned to the SCC's appraisal process which was closely tied to the Behaviours Framework while training had also been provided to Orbis employees.
4. The Committee expressed concern that the report didn't make any specific mention of how the Behaviours Framework applied to County Councillors, particularly in regard to how officers and Members worked together and understood each other's specific roles within the organisation. Members stipulated that officers should consider how the corporate and executive aspects of the organisation understand each other and the role that they play within the running of the Council. It was agreed that the Committee would receive a report at its meeting in June 2018 outlining work being undertaken to support closer working between officers and Members within SCC and to help them better understand each other's roles and responsibilities.

Actions/ further information to be provided:

1. The Committee to receive a report on work being undertaken to support closer working between officers and Members within the organisation and to help them better understand each other's roles and responsibilities.

RESOLVED:

It is recommended that People, Performance and Development Committee:

- i. approves the updated behaviour framework guide; and
- ii. notes progress made to embed the behaviours within the organisation.

106/17 POLICY STATEMENT ON VOICE RECORDING HR MEETINGS [Item 8]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD

Key points raised during the discussion:

1. Committee Members inquired as to whether all disciplinary meetings between managers and line reports at SCC are audio recorded. Officers indicated that to ensure staff members felt able to talk candidly with their manager regarding a specific issue or concern it wasn't always appropriate to audio record disciplinary meetings. Flexibility was built into the Policy so that it wasn't mandatory to audio record these meetings.
2. Concern was expressed regarding the implications of allowing staff to use their own devices to record disciplinary meetings. Members stressed that there was a risk that audio recordings made by staff members could become the definitive record of the meeting as these were relatively easy to doctor. The Committee instead proposed that the Council purchase dictaphones that make two recordings of the meeting, one of which can then be kept by the Council and the other given to the member of staff involved in the meeting. It was agreed that the policy should be amended in accordance with this suggestion and that the revised policy should be brought back to the Committee for consideration.

Actions/ further information to be provided:

1. The Council's Policy on Voice Recording at HR meetings considered by the Committee at its meeting on 30 November 2017 to be amended to state that SCC will record HR meetings where appropriate and that a copy of the original tape will be shared with the member of staff at the meeting. The revised policy to be brought back to the Committee at its meeting on 29 January 2018.

RESOLVED:

None

107/17 HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT STRATEGY 2017-19 [Item 9]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD
Debbie Bala, Senior HR Advisor

Key points raised during the discussion:

1. The report was introduced by officers who informed the Committee that there had been discussions as to the period of time that the Human Resources & Organisational Development (HR & OD) Strategy should cover. It had, however, been agreed that the Strategy should span two (2017- 2019) rather than five years (2017 – 2022) due to potential changes in the structure of SCC's workforce as part of the Orbis integration and recognising that the new Chief Executive may wish to review the Strategy.
2. Members requested further detail on the dashboard that would be used to measure performance against the HR & OD Strategy. Officers stated that key metrics including turnover, promotion, retention, career development and equality would be used to judge the success of the Council in embedding the Strategy. The dashboard was being developed to collect data from these key metrics which would then presented in a series of graphs and charts. It was agreed that the Committee should receive a report which provided details of how the dashboard was developing, with examples of how the charts/ graphs would be formatted, at its meeting on 29 January 2018 for comment by the Committee. PPDC further agreed that the performance against the HR & OD Strategy should be regularly reported to the Committee on a biannual basis.
3. Members were informed that Chief Executives Direct Reports had given its approval for HR to review the quality of workforce data that was available at service level to support SCC in strategic planning around staffing levels in specific areas of the organisation. The Committee asked the extent to which the number of staff on the Council's payroll provided officers with sufficient information to undertake workforce planning. They were informed that this was a crude measure and didn't provide detail on the structure of the workforce or the recruitment being undertaken to vacancies. Further clarity was sought on whether cross-checking took place between the Council's payroll and the structure of the organisation. The Committee was informed that an annual audit was undertaken by officers but stated that there was a disconnect between how the HR and Finance Teams viewed SCC's organisational structure. Specifically, officers indicated that the Finance Team planned budgets around what heads of service anticipated their staffing levels would be for the coming year which created a mismatch in data reported by the Management Information as posts were not always recruited to.
4. The discussion turned to staff recruitment within individual services and Members asked whether the Council could create a contingency staffing budget that managers could apply to for employing additional members of staff. Officers indicated that there was a need for heads of service to retain a degree of flexibility within their staffing budgets to

enable them to respond to specific challenges and opportunities that may arise. Members were advised that SCC could benefit from a policy on holding vacancies to ensure that the service delivery wasn't being adversely impacted although this was a conversation that would need to take place once the new Chief Executive was in post.

5. The Committee inquired about the extent to which the Orbis Partnership was part of the HR & OD Strategy. Members were informed that Orbis was included under the Transformation Section of the Strategy although it had been created for SCC as an Orbis customer and so was more applicable to staff directly employed by the Council

Actions/ further information to be provided:

- i. The Committee to receive an update on the indicators that will be used to measure performance against the HR & OD Strategy at the Committee's meeting on 29 January 2017.

RESOLVED:

The People, Performance and Development Committee:

- i. reviewed and comment on the refreshed two year HR&OD Strategy; and
- ii. agreed to take six monthly reports to review progress of key aims and measures.

108/17 EXCLUSION OF THE PUBLIC [Item 10]

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 the relevant paragraphs of Part 1 of Schedule 12A of the Act.

109/17 PAY POLICY EXCEPTIONS - NOVEMBER 2017 [Item 11]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD

Key points raised during the discussions:

The report was introduced by officers. The Committee asked a number of questions which were responded to by the officers present before moving to recommendations.

Actions/ further information to be provided:

The Committee agreed a number of actions which are recorded in the Part 2 minutes.

RESOLVED:

The Committee approved the recommendations set out in the confidential minutes.

110/17 INTERIM SENIOR MANAGEMENT ARRANGEMENTS FOR ENVIRONMENT AND INFRASTRUCTURE DIRECTORATE [Item 12]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD

Key points raised during the discussions:

The report was introduced by officers. The Committee asked a number of questions which were responded to by the officers present before moving to recommendations.

Actions/ further information to be provided:

The Committee agreed a number of actions which are recorded in the Part 2 minutes.

RESOLVED:

The Committee approved the recommendations set out in the confidential minutes.

111/17 SURREY PAY ANNUAL REVIEW 2017 TO 2018 [Item]

Declarations of interest:

None

Witnesses:

Ken Akers, Head of HR & OD

Key points raised during the discussions:

The report was introduced by officers. The Committee asked a number of questions which were responded to by the officers present before moving to recommendations.

Actions/ further information to be provided:

None

RESOLVED:

The Committee approved the recommendations set out in the confidential minutes.

112/17 PUBLICITY OF PART 2 ITEMS [Item 13]

It was agreed that information related to Part 2 items discussed at the meeting would remain exempt.

113/17 DATE OF NEXT MEETING [Item 14]

The Committee noted that its next meeting would be held on 29 January 2018.

Meeting ended at: 16:05

Chairman

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People, Performance and Development Committee

29 January 2018

Action Review

Purpose of the 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 1 and Annex 2 (Part 2)**, and the Committee is asked to review progress on the items listed.

Recommendations:

The Committee is asked to monitor progress on the implementation of actions from previous meetings (Annex 1).

Report contact: Andrew Baird, Regulatory Committee Manager

Contact details: 020 8541 7609, andrew.baird@surreycc.gov.uk

Annexes:

Annex 1 – People, Performance and Development Committee Actions Tracker
Annex 2 - People, Performance and Development Committee Actions Tracker (Part 2)

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ONGOING ACTIONS

Number	Meeting Date	Item	Action	Action by whom	Action update
A50/17	30 November 2017	Forward Work Programme	The Committee to consider a report on the Council's approach to flexibility on pay and working arrangements for staff where this could help to support the existing workforce	Head of HR & OD	This item has been added to the Committee's Forward Work Programme for consideration at its meeting on 26 April 2018. (Updated: 05 December 2017)
A51/17	30 November 2017	Embedding the Council's Values and Behaviours	The Committee to receive a report on work being undertaken to support closer working between officers and Members within the organisation and to help them better understand each other's roles and responsibilities.	Senior Manager, Cabinet & Member Support	An item has been added to the Committee's Forward Work Programme for consideration its meeting on 14 June 2017. (Updated: 05 December 2017)
A52/17	30 November 2017	Policy Statement on Voice Recordings	The Council's Policy on Voice Recording at HR meetings considered by the Committee at its meeting on 30 November 2017 to be amended to state that SCC will record HR meetings where appropriate and that a copy of the original tape will be shared with the member of staff at the meeting. The revised policy to be brought back to the Committee at its meeting on 29 January 2018.	Senior HR Adviser (Policy)	An item has been added to the Committee's Forward Work Programme for consideration at its meeting on 29 January 2018. (Updated: 05 December 2018)

People, Performance & Development Committee – ACTION TRACKING

November 2017

A53/17	30 November 2017	Human Resources & Organisational Development Strategy	The Committee to receive an update on the indicators that will be used to measure performance against the HR & OD Strategy at its Committee's meeting on 29 January 2017	Head of HR & OD	A report outlining performance against these indicators will be brought to the PPDC meeting on 29 January 2018. (Updated: 05 December 2017)
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COMPLETED ACTIONS

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A29/17	25 July 2017	Human Resources Policy Update – Changes to annual Leave Accrual and Carry-Forward Arrangements	Policy to be updated to state that staff who have been on an extended period of sick leave to carry forward accrued annual leave up to a year following the period of absence. This can be extended for up to two years in exceptional circumstances with agreement from the Head of HR & OD and the relevant Strategic Director.	Senior HR Advisor	The Committee will receive a report on the Council's Annual Leave Accrual and Carry-Forward Arrangements at its meeting on 8 March 2018 (Updated: 27 October 2017)
A30/17	25 July 2017	Key Worker Housing	Officers to investigate the full range of options to provide housing for staff taking up a role in a hard to recruit to position. This includes talking to other public sector organisations as well as institutions such universities.	Strategic Business Partner	The Committee will receive an update report on this at its meeting on 8 March 2018 (Updated: 27 October 2017)
A31/17	25 July 2017	Key Worker Housing	Officers to consider ways of improving the assistance it provides for staff required to relocate to take up a position at SCC and to present a report on the outcomes of this to a future meeting of PPDC.	Strategic Business Partner	The Committee will receive an update report on this at its meeting on 8 March 2018 (Updated: 27 October 2017)

People, Performance & Development Committee – ACTION TRACKING

November 2017

A39/17	25 September 2017	Surrey County Council New Learning Agreement	Committee Members to receive data on the number of staff who have taken up SCC's new Learning Agreement.	Learning & Development Manager	The Committee will receive an update report on this at its meeting on 8 March 2018 (Updated: 27 October 2017)
A45/17	27 October 2017	Forward Work Programme	Staff Survey Results to be considered at the Committee's meeting on 29 January 2018	Chief of Staff	Officers have confirmed that they will prepare a report for consideration by Members at the Committee's meeting on 29 January 2018. (Updated: 27 October 2017)

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**People, Performance and Development Committee**

29 January 2018

Forward Work Programme**Purpose of the report:**

For Members to review and comment on upcoming items due for consideration by the People, Performance and Development Committee.

Introduction:

A Forward Plan recording agenda items for consideration at future People, Performance and Development Committee meetings is attached as **Annex 1**, and Members are asked to review the items listed on the Forward Plan.

Recommendations:

That the People, Performance and Development Committee review items that it is due to consider at future meetings (Annex 1).

Report contact: Andrew Baird, Regulatory Committee Manager

Contact details: 020 8541 7609, andrew.baird@surreycc.gov.uk

Annexes:

Annex 1 – People, Performance and Development Committee Forward Work Programme

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People Performance and Development Committee Forward Work Programme – January 2018



8 March 2018

Item title	Pay Policy Exceptions March 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

Item title	Annual Leave Policy
Report author	Prodromos Mavridis, Snr HR Advisor – Policy and Engagement
Item Summary	To provide committee with revisions to the Council's Annual Leave policy on the arrangements for accrual & carry forward of annual leave.

Item title	Surrey Pay Annual Review - 2018
Report author	Julie Smyth, Reward Manager
Item Summary	To provide committee with an update on the pay award arrangements for 2018/2019

Item title	Update on Support available to find Suitable Housing
Report author	Gill Kearney, Strategic Business Partner and Prodromos Mavridis, Snr HR Advisor – Policy and Engagement
Item Summary	To provide committee with a report outlining what actions have been taken to improve support available for SCC staff in negotiating Surrey's housing market, particularly those in roles considered challenging to recruit to or were new staff relocating from outside the County. Revisions to the relocation policy are being reviewed as part of this process.

Item title	Trade Union Facilities & partnership arrangements
Report author	Prodromos Mavridis, Snr HR Advisor – Policy and Engagement
Item Summary	To provide committee with the adoption of a new framework for a suite of recognition agreements between the council and the trade unions which it recognises. This includes a change to facility time calculations and service level agreements for schools and academies who may wish to purchase facility time.

Item title	Coroner's Pay
Report author	Jo Donoghue - Strategic Business Partner
Item Summary	To provide committee with the formal joint circular and guidance from the Crime Survey for England and Wales (CSEW) / Local Government Association (LGA) on the national pay framework for Coroner's pay.

Item title	2016/2017 Pay Policy Statement Amendments
Report author	Julie Smyth – Reward Manager
Item Summary	To provide committee with updated amendments to the current Pay Policy Statement.

26 April 2018

Item title	Pay Policy Exceptions April 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

Item title	Surrey Pay Annual Review update
Report author	Julie Smyth, Reward Manager
Item Summary	To update the Committee on the Surrey Pay negotiations taking place.

Item title	SCC's Approach to Flexible Pay and Working Arrangements
Report author	Rakhi Saigal, Strategic Business Partner
Item Summary	As requested from committee on the meeting on 30 November 2017, PPDC will consider a report on the Council's approach to flexibility on pay and working arrangements for staff where this could help to support the existing workforce.

Item title	Surrey Arts & Adult Community Learning Pay Review
Report author	Gulcin Polat, HR Advisor
Item Summary	To provide committee with an overview of the pay review for tutors in Cultural Services.

Item title	Learning Agreement update
Report author	Sandie Hamilton, Learning & Development Manager
Item Summary	To provide committee with an update on the take up on the number of staff who have applied for courses.

Item title	Army Reservists Policy
Report author	Abid Dar - Equality Inclusion & Wellbeing Manager
Item Summary	To provide committee with a new policy of the Army Reservists, as the council participates in the Army Forces Covenant. This new policy will relate to special leave for army reservists and veterans returning to civilian life to ensure that those who serve or have served in the forces, and their families, are treated fairly.

14 June 2018

Item title	Pay Policy Exceptions June 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

Item title	Appraisal Completion Update
Report author	Ken Akers, Head of HR & OD Lavern Dinah, Acting Strategic OPD Manager
Item Summary	To update the Committee on the number of appraisals that have been completed to date so far for the year 2017/18.

Item title	Surrey Pay Annual Review update
Report author	Ken Akers, Head of HR & OD
Item Summary	To update the Committee on the negotiations taking place

Item title	Fostering collaboration between officers and Members
Report author	Rachel Basham, Senior Manager – Cabinet and Member Support
Item Summary	This report will provide an update on initiatives in place to support officers to work effectively with Members. The item will provide further information on the variety of different training opportunities open to officers to support them in working in a political environment. It will also seek feedback from Members regarding any other interventions that may be helpful in building effective Member/officer relationships.

Item title	Recruitment Policy
Report author	Prodromos Mavridis, Snr HR Advisor – Policy and Engagement
Item Summary	To recommend potential amendments to the Recruitment policy to ensure alignment with safer employment DBS policy and data protection requirements that apply to recruitment and selection process.

Item title	Professional Membership Fees
Report author	Prodromos Mavridis, Snr HR Advisor – Policy and Engagement
Item Summary	To recommend potential amendments to governance arrangements relating to the eligibility of council officers to have professional fees reimbursed.

Item title	2017/2018 Pay Policy Statement
Report author	Julie Smyth – Reward Manager
Item Summary	To provide committee with the details of the 2017/2018 Pay Policy Statement.

Item title	Embedding Behaviours Framework
Report author	Lavern Dinah - Strategic OPD Manager
Item Summary	To provide committee with an update as requested at the 30 November 2017 committee on the Embedding Behaviours Framework. The report will update committee on work being undertaken to support closer working between officers and Members within the organisation and to help them better understand each other's roles and responsibilities.

25 July 2018

Item title	Pay Policy Exceptions July 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

Item title	Pay Policy Exceptions Analysis end of year for 2016/2017
Report author	Stuart Brown, Data Operations Manager
Item Summary	To report to committee the analysis of Pay Policy Exceptions agreed for end of year for 2016/2017.

Item title	Orbis Partnership Staffing
Report author	Ken Akers, Head of HR & OD
Item Summary	To report to committee on Orbis staffing and integration as well as details of the savings being delivered as a result of staffing changes arising from Orbis.

Item title	Key Worker and Relocation Assistance policy
Report author	Prodromos Mavridis, Snr HR Advisor – Policy and Engagement
Item Summary	To provide committee with a report of the outcomes on investigations into the full range of options to provide housing for staff taking up a role in a hard to recruit to position. This includes talking to other public sector organisations as well as institutions such universities.

Item title	Review of Human Resources & Organisational Strategy Indicators
Report author	Hannah Dwight, HR Business Services & Programmes Mgr
Item Summary	At its meeting on 30 November 2017, the Committee agreed to receive a report outlining performance against the HR & OD Strategy every six months. This update follows that received by the Committee at its meeting on 29 January 2017

24 September 2018

Item title	Pay Policy Exceptions September 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

7 November 2018

Item title	Pay Policy Exceptions November 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

13 December 2018

Item title	Pay Policy Exceptions December 2018 (Part 2)
Report author	Ken Akers, Head of HR & OD
Item Summary	For PPDC to decide on senior pay (grades S13 or above) that fall outside of the published pay policy.

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People, Performance and Development Committee
Monday 29 January 2018

Apprenticeship Levy and Public Sector Target Update

Purpose of the report:

This report is being brought to update Members of the People, Performance and Development Committee on the current status and progress to date on meeting the Government's Apprenticeship Levy and Public Sector Target duties for Surrey County Council.

Recommendations:

It is recommended that the People, Performance and Development Committee note the positive progress detailed within the report and comment on the conclusions.

Introduction:

1. The Apprenticeships Levy is a payment is paid to the HMRC via PAYE returns on a monthly basis at 0.5% of Surrey County Council's (SCC) total pay bill. This equates to a monthly levy cost of approximately £100,000 for non-schools and £70,000 for schools. Payments began in April 2017. The purpose of the levy is to encourage employers to invest in apprenticeship programmes and to raise additional funds to improve the quality and quantity of apprenticeships across England.
2. As of May 2017, SCC has access to the contribution in the online digital apprenticeship service account. This account is being used to pay for apprenticeships training and assessment in the Council.
3. The Apprenticeship Levy forms part of the Government's plan to raise the number and quality of apprenticeships. The levy is set to raise £3 billion a year (£2.5 billion for England), helping to fund the Government's target of three million apprenticeships by 2020.
4. The Public Sector has also a target of a minimum 2.3% apprentices and/or sponsored qualification starts each year based on the headcount of employees. For SCC this equates to a target of 268 apprentices and/or sponsored qualification starts for non-schools and 389 for schools based on 1 April 2017 headcount figures

Background

5. A strategic framework has been put in place to address five key aims as a response to the Apprenticeship Reforms. These five key strategic aims are listed below with a brief explanation and a progress report is provided quarterly.
 - 5.1 **Adapt Entry Employment Roles**
Develop clear entry routes into the organisation, utilising apprenticeships where appropriate
 - 5.2 **Promote Apprenticeships and Sponsored Qualifications**
Promote the value and benefits of apprenticeships as a career pathway to achieving a professional level qualification to all staff.
 - 5.3 **Increase Recruitment**
Progressively increase the number of apprenticeship employed to achieve the 2.3% public sector target.
 - 5.4 **Implement Reporting Duties**
The Council will report and publish its contribution towards the national target of three million apprenticeships as well as its commitments to the Public Sector Duty and tracking of apprenticeship levy spend.
 - 5.5 **Develop Career Pathways**
Provide apprenticeship opportunities for existing staff aligned to skills development requirements across the Council and embed the use of apprenticeships within the Council's workforce planning and succession planning activity with all service managers.

Progress to date

Adapt Entry Employment Roles

6. A review of entry employment roles of the Council has been conducted to see where entry roles can be converted into apprenticeships with a sponsored qualification attached.
7. Clear entry routes into the organisation for young people and those returning to work are being re-developed in partnership with key stakeholders.
8. All vocational areas in each directorates have been mapped. Areas where there is scope to introduce apprenticeships have been identified.
9. SCC's external website for apprenticeships is being reviewed to ensure it provided up to date information and clear signposting.
10. An 'alternative career' apprenticeship programme aimed at a mature entrant that takes into account the older population demographics in Surrey is being investigated.

Promote Apprenticeships

11. The Career Development Team have conducted workshops and drop –in sessions for staff and managers. Information was also made available on the recent Learning & Development Campaign roadshow with sponsored qualifications being the biggest area of interest. Sponsored Qualifications information and process is also promoted at SCC’s monthly County induction sessions.
12. Particular areas where recruitment and retention are an issue, apprenticeships are being offered in order to raise the number of young people joining the organisation. One such area being targeted is engineering in Highways.
13. In both Children’s Services and the Adult Social Care Directorate they aim to increase their uptake once the Social Worker and Occupational Therapist Degree Apprenticeship standards are ready for delivery in 2019.

Increase Recruitment

14. The Career Development Team, Recruitment Team and Apprenticeship Ambassadors have attended six career and skills fairs in Surrey in 2017 to promote opportunities at SCC and will continue to sponsor career events in the South East region.
15. The Council aims to continue to recruit and attract new apprentices into the organisation through an ongoing recruitment campaign, together with the National Apprenticeship Week promotions and service led recruitment throughout the year.
16. The Council currently has 100 apprentices who started in 2016/17 under taking the old apprenticeship framework. A further four apprenticeships have been recruited in 2017 have used the levy to fund their qualifications. There are eight apprentices going through pre-employment and five further positions at interview stage, bringing the Council’s total new entry apprentices to 112.
17. The Recruitment Team is gaining access to the Government’s “Find an Apprenticeship” service and is promoting the Council’s apprenticeship vacancies through multiple media channels including Twitter, Facebook and SCC’s job website.

Implementing Reporting Duties

18. Imposing a duty on directorates for a minimum amount of apprenticeship starts per year has increased their commitment. Directorate target numbers can be found in Annex 1 as well as in figure 1 where it is shown as a comparison against the progress made.
19. There are currently 183 sponsored qualifications in the pipeline over the next few months. The graph below shows where these will be, it also shows that every directorate is having regard to the apprenticeship levy and its workforce targets. The types of sponsored qualifications being undertaken in each directorate can be found in Annex 2.

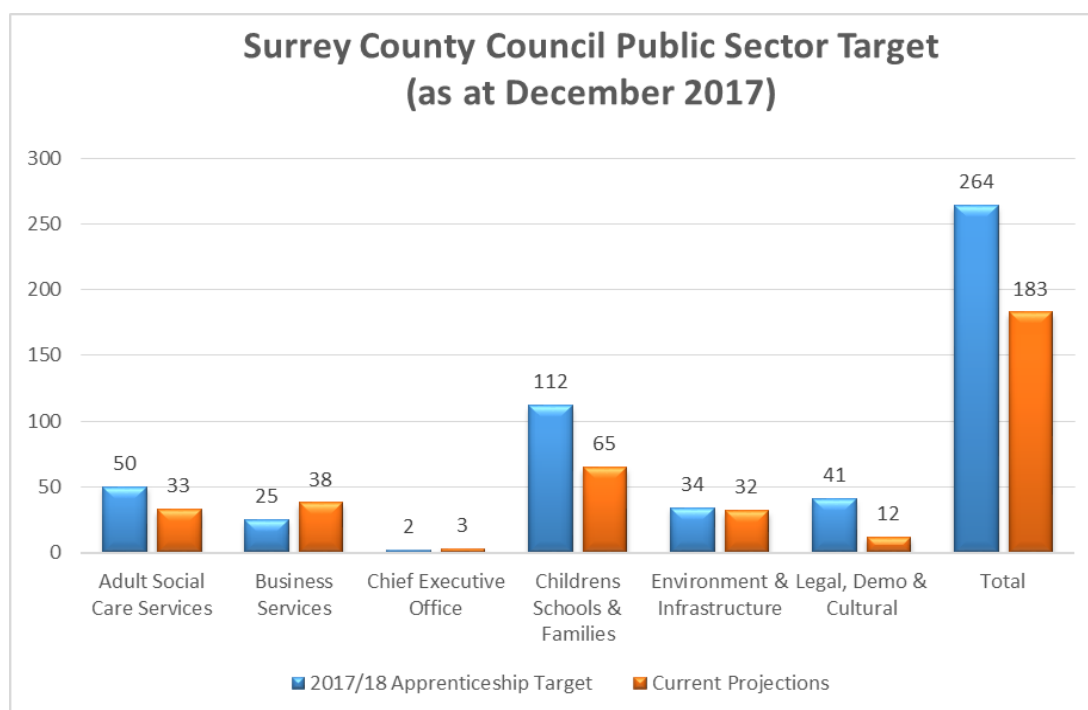


Figure 1. Directorate Targets and Progress to date

20. The Career Development Team has developed a database to track applications and expressions of interest, together with actual and forecast spend.
21. The report to the Secretary of State regarding SCC's due regard to the Apprenticeship Reforms (1 April 2017 – 31 March 2018) is due in September 2018. The Public Sector Target, whilst annual, is averaged over four years.

Develop Career Pathways

22. Career pathways are being developed so it is clear what training and development opportunities are available to all staff to help individuals progress in their career. The completion of sponsored qualifications, utilising the Apprenticeship Levy, is being seen as the natural route to gain new skills and knowledge to progress individual careers, enabling the Council's internal offer to focus on meeting mandatory and statutory training requirements.
23. A mapping exercise of all job families against sponsored qualifications and various training offers has been carried out to identify progression routes. The Career Development Team are now looking to translate this information into an accessible and more user-friendly tool to enable individuals to plan their careers'.

Locally Maintained Levy Paying Schools

24. A team lead in Schools & Learning has been identified and will be working with the Schools Apprenticeship Champion and Area Schools Officers to promote and administer the apprenticeship levy and public sector targets for local authority maintained Schools in Surrey. It is envisaged that the management of the Schools DAS account will be the responsibility of the Team Lead, once a robust application process is in place.

25. The SLA Online project will now include a category for Apprenticeships to allow Schools easier access to the levy funding and follow an agreed process for training provision. Until this time, the Career Development Team will continue to manage their on line digital account. The teams will also continue to work in partnership to ensure sharing of knowledge and best practice.
26. To date, the take up in Schools has been small. This is due to a number of valid reasons:
 - 26.1 absence of school-specific apprenticeship standards being available;
 - 26.2 the cost of creating apprenticeship positions and salary on already stretched budgets;
 - 26.3 the requirement of sponsored qualifications and apprentices having a 20% “off-the-job” requirement with no backfill budget; and
 - 26.4 the Public Sector target figures based on headcount which equates to 389 for Schools which, combined with the above reasons is felt to be unattainable
27. There are currently 16 new apprentices and two existing staff sponsored qualification starts across eight schools with the majority taking up the Supporting Teaching & Learning apprenticeship qualification.

Conclusions

28. Sound progress has been made on the strategic approach with solid numbers in non-schools and there is more scope for developing apprenticeships as the strategy beds in. The interest from staff is high and manager engagement is good with an ongoing plan of promotional activity for 2018 with the Communications Team regarding sponsored qualification.
29. Progress in schools has been slow due to pressures of change in the sector and the need for more schools based apprenticeships. The announcement that Teaching Apprenticeship Standard is now ready for delivery and Teaching Assistant Apprenticeship Standard in development will hopefully provide wider opportunities for school employed staff and help them meet their public sector targets.

Financial and value for money implications

30. The SCC non schools Levy contribution in the financial year 2017/18 is expected to total £1.2m. To date officers are forecasting to spend £652k of this (Annex 3) as of November 2017, however this will be withdrawn from SCC’s digital account over the next three years as the programme lengths vary for each individual apprenticeship.
31. The SCC schools Levy contribution in the financial year 2017/18 is expected to total £1.2m. Due to the low level of activity, the spend from this account was only £5k at November 2017.

32. The Career Development team are working with providers to negotiate value for money programmes ensuring we maximise the delivery of content to meet all the development needs of each apprentice.

Equalities and Diversity Implications

33. As an employer SCC has a responsibility to ensure that its offer of undertaking sponsored qualifications is accessible to all. There are a number of funding eligibility criteria that we must abide by set by the Education & Skills Funding Agency (ESFA) that will ensure the Council offers a fair and equitable opportunity to all. A sample of these criteria are listed below and the full document can be found on www.gov.uk.
- 33.1 We can access learning support for apprentices to help with learning that affects their ability to continue and complete their apprenticeship. This can be claimed up to the learning actual end-date. Learning support will be claimed by the provider to meet the costs of putting in place a reasonable adjustment as part of the Equality Act 2010.
- 33.2 ESFA will fund apprentices to achieve qualifications in English or maths (or both), if they do not already meet the required standard. This will be paid in full to the provider by the ESFA at the rate they set, and will not be deducted from our digital account or require employer co-investment
- 33.3 The employer must allow the apprentice to complete the apprenticeship within their working hours.
- 33.4 Working fewer than 30 hours a week or being on a zero-hours contract must not be a barrier to successfully completing an apprenticeship. We will monitor working hours' data and patterns of behaviour to ensure that sufficient regular training and on- and off-the-job activity is done to ensure successful completion of the apprenticeship, regardless of the number of hours worked
- 33.5 The training provider will receive a payment towards the additional cost associated with training if, at the start of the apprenticeship, the apprentice is aged between 19 and 24 years old and has either an Education, Health and Care Plan (EHC plan) provided by their local authority or has been in the care of their local authority.

Risk Management Implications

34. The main risk related to the activities detailed in this report is the underutilisation of SCC Levy contribution. The mitigating actions being taken to address this include:
- 34.1 Maintaining an ongoing communication strategy to constantly promote the availability of sponsored qualifications, especially around midyear and end of year appraisal periods.
- 34.2 Ensuring the Career Development Team are keeping abreast of the launch of new sponsored qualifications and are targeting relevant areas across the Council to ensure they come to the attention of the service Champions.

34.3 Maintaining accurate and up to date forecasting figures that are shared monthly with the Head of Service for HR&OD and reported quarterly back to PPDC.

7

Next steps:

A quarterly progress report focusing on public sector reporting duties and SCC proposed response to be scheduled for review in May 2018 by the People and Performance Development Committee

Report contact: Joy Hurman, Service Partner Career Development

Contact details: Telephone: 020 8541 8772
Email: joy.hurman@surreycc.gov.uk

Annexes:

Annex 1 - Targets for each Directorate, based on headcount

Annex 2 - Forecast of Sponsored Qualifications (at 31 December 2017) by Directorate

Annex 3 - SCC's corporate projections

Annex 4 - Schools projections

Sources/ /Background Papers:

None

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Annex 1

Targets for each Directorate, based on headcount

Directorate Targets	Annual Public Sector Workforce Targets
Adult Social Care Services	50
Business Services	25
Chief Executive Office	2
Childrens Schools & Families	112
Environment & Infrastructure	34
Legal, Demo & Cultural	41
Target Total	268

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Annex 2

Forecast of Sponsored Qualifications (at 31 December 2017) by Directorate

Standards/Frameworks	ASC	BUS	CEO	CSF	E&I	LDC	Total
Accounting	2	1		1			4
Assistant Accountant		1		1			2
Adult Care Worker	7						7
Associate Project Manager	3	3		2	1		9
Business Administration	8	4	1	7	3	3	26
Chartered Legal Executive					2		2
Chartered Manager Degree		1		6	3	2	12
Chartered Surveyor		1					1
Civil Engineering					9		9
Construction Quantity Surveyor					1		1
Customer Service Practitioner		2				1	3
Data Analyst		1					1
Digital & Technology Solutions Degree		2					2
Digital Marketer		2	1	1	1		5
Residential Childcare Diploma				30			30
HR Support		3					3
HR Consultant/Partner		7					7
Lead Adult Care Worker	4						4
Lead Practitioner in Adult Care	1						1
Leader in Adult Care	1						1
Legal Administration						2	2
Operational/Department Manager	4	1		3	2	2	12
Transport Planning Technician					1		1
Team Leader	3	7	1	9	9	2	31
Workplace Pensions Advisor		2					2
Youth Work				5			5
Forecast Totals	33	38	3	65	32	12	183*

* Out of the total 183: 90 started in 2017, 42 are due to start in January, 30 in February, 16 in March, 16 in April and 4 in May 2018

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Annex 3

SCC's corporate projections

	Forecast Totals £
Corporate Contribution to Levy May 2017 to March 2018	1,200,000.00
Deposited (plus 10% contribution)	651,918.42
Actual Spend as of November 2017	961.12
Forecast Spend (to be withdrawn over subsequent years)	676,708.61
Predicted Underspend of May 2017 to March 2018 deposits	513,291.39

Note: Many cohort start dates are planned from October/November, therefore first payments not due to leave digital account until January 2017.

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Annex 4

Schools projections

	Forecast Totals £
Schools Contribution to Levy May 2017 to March 2018	840,000.00
Deposited (plus 10% contribution)	346,864.79
Actual Spend as of November 2017	638.89
Forecast Spend (to be withdrawn over subsequent years)	4,666.55
Predicted Underspend of May 2017 to March 2018 deposits	835,333.45

Forecast of Sponsored Qualifications (at 31 December 2017) For Schools

Standards/Frameworks	
Accounting Profession	2
Business Administration	2
Children & Young People Workforce	1
Early Years	1
Playwork	1
Supported Teaching & Learning	17
Totals	24*
Target	[389]

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People, Performance and Development Committee
29 January 2018

**HR Policy Changes: Grievance Policy Review and Addition to Safer
Employment and DBS Policy**

Purpose of the report:

The People, Performance and Development Committee is asked to consider and endorse a number of proposed modifications to Surrey County Council's Grievance Policy and Procedure which includes renaming it to the 'Grievance Resolution Policy and Procedure' (Annex 1) as well as noting an addition to the Safer Employment and DBS Policy of the Council (Annex 2).

Recommendations:

It is recommended that the People, Performance and Development Committee:

- i. agrees to the proposed amendments to the Grievance Policy and Procedure of Surrey County Council, including renaming it to Grievance Resolution Policy and Procedure; and
- ii. notes an addition to the Safer Employment and DBS Policy of the Council to codify a statutory obligation under the Childcare Act 2006.

Introduction:

1. The People, Performance, and Development Committee (PPDC), at its meeting of 14 June 2017, ratified an amendment to the Collective Disputes Policy of Surrey County Council (SCC) with a view to excluding collective grievances from its scope, incorporating the Council's approach to managing them into its Grievance Policy.
2. Officers within the HR&OD Service have taken the opportunity to conduct a full review of the Grievance Policy and consult with relevant stakeholders. Amendments are being proposed to emphasise the Council's approach to mediation and restorative practice, and to provide officers with more clarity and flexibility in attempting to resolve grievances.
3. The Committee is also asked to note an addition to the Safer Employment and DBS Policy of the Council. The Policy now makes clear reference to the Council's statutory obligations [under the provisions of the Childcare Act 2006] relating to disqualification by association.

Key Issues:

4. The current Grievance Policy and Procedure of the Council places relatively limited emphasis on seeking solutions to disagreements and difficult situations- it frames grievances as allegations that can be 'upheld' or 'not upheld', as opposed to issues which can be 'resolved'. The proposed revisions to the Policy incorporate linguistic and associated changes that focus on resolving complaints and disagreements. In the same spirit, the policy name has been updated to 'Grievance Resolution Policy and Procedure'.
5. In a similar vein, the current Grievance Policy and Procedure makes no reference to the Council's policy on Ending Harassment, Bullying, Discrimination and Victimisation or the comprehensive machinery which officers have at their disposal for the informal resolution of disputes (e.g. Fairness Champions, coaching, mediation, restorative framework). Furthermore, it does not outline that Trade Union support may be available to officers prior to the commencement of any formal proceedings and that it could apply to both aggrieved employees and those faced with allegations of responsibility for actions or omissions which may have led to a grievance. The proposed revisions to the policy make reference to the restorative philosophy and the associated guidance will aim to provide employees with a comprehensive outline of tools, approaches and associated sign-posting.
6. The current Grievance Policy and Procedure sets a rigid requirement for an employee to report a grievance to the manager of their line manager, something which will not be appropriate or practicable under every set of circumstances. The proposed revised Policy replaces this with a requirement to file a grievance with a "manager of appropriate seniority", together with allowing such managers to delegate the practical aspects of a case to someone "sufficiently competent and impartial".
7. The current Grievance Policy and Procedure provides the Head of Paid Service and their direct reports with no way of filing a grievance. While grievances from officers at that level of seniority are likely to be rare, it is important for them to have a clear avenue for raising concerns in a sensitive way. The proposed revised Policy includes the addition of a facility for the Chief Executive Officer and their direct reports to file a grievance with the Monitoring Officer who will be responsible for overseeing the process and providing confidential updates to the Leader of the Council [or a Member of the Council's Cabinet designated by the Leader]. The proposal includes designating the Head of the HR&OD Service as a contact for raising any concerns that may not be appropriate or practicable to raise with the Monitoring Officer.
8. The current Grievance Policy and Procedure includes timelines for various stages of the process which may be unrealistic in complex cases and/or where an employee/manager is absent due to holiday or

sickness. These stipulations can create unnecessary friction where deadlines cannot be met. The proposed revisions to the policy replace the fixed timelines for outcomes with a requirement for frequent updates (at least every two weeks, or three weeks in exceptional circumstances), and the opportunity for an officer to request a response from their Head of Service “or other appropriately senior manager” if they are not provided with an outcome within two months of filing a grievance.

9. The current Grievance Policy and Procedure does not clarify the distinction between commissioning officers (those overseeing the process and/or chairing a hearing) and investigating officers (those who are designated to carry out an investigation) and it is unclear on when an investigation should take place. The proposed revised Policy provides the reader with additional clarity which may be further enhanced in the relevant guidance documents.
10. The current Grievance Policy and Procedure does not include a facility for the Council to consider appointing an external investigator in cases where that may be warranted by the complexity of the issue or the seniority of the officers involved. The proposed revised Policy includes the codification of such a facility.
11. The proposed revised Policy and Procedure emphasises the employee wellbeing implications of raising a grievance, recommending managers to hold relevant conversations with aggrieved employees to assess the needs of the employee and consider making any adjustments that may be appropriate to individual circumstances.

Addition to Safer Employment and DBS Policy

12. A statement relating to Disqualification by Association has been added to the policy to ensure compliance with provisions in the Childcare Act 2006 which prevent individuals from carrying out certain work with children under the age of 8 if they live together with anyone who has been convicted of certain offences. There is no mechanism available to the Council for proactively checking the background of those living together with its officers and/or job applicants. Consequently, there is a requirement for employees in [and job applicants for] posts whose duties include relevant activity to declare whether they are aware of any members of their household having any offences/cautions/reprimands in their past. The Disqualification by Association provisions are likely to only apply to a very small number of Council posts (circa 25-30 according to estimates by officers in the Safer Staffing Team). The statement can be found in 2.1 of Annex 2 to this report.

Financial and value for money implications:

13. It is expected that the proposed revisions to the Grievance Policy will not result in any discernible financial impact to the Council. There is likely to be a need for officers to dedicate some additional time to providing updates on a case that has been making limited progress, however, this is likely to be outweighed by time savings related to the

avoidance of disputes around compliance with the current rigid timescales which apply to arranging meetings, providing outcomes etc.

14. The addition of the Disqualification by Association statement to the Safer Employment and DBS policy is not expected to have any direct financial impact to the Council.

Equality and Diversity implications:

15. The proposed revised Grievance Resolution Policy and Procedure does not vary the current overall approach of the Council to managing equality and diversity in employment. However, it is expected to improve the effectiveness of that approach through the introduction of a clear distinction between grievances and complaints under the Ending Harassment, Bullying, Discrimination, and Victimisation policy as well as the recommendation to consider wellbeing implications for employees who file a grievance.
16. The addition of the Disqualification by Association statement to the Safer Employment and DBS policy is not expected to have any impact on the Council's approach to managing equality and diversity in employment.

Risk Management implications:

17. There are no direct financial risks identified to the revision of the Grievance Policy and Procedure. However, the proposed revised Grievance Resolution Policy and Procedure is expected to improve risk management in the context of officer grievances, by strengthening the framework in which they can be raised and reducing the likelihood of grievances culminating in employment tribunal claims.
18. The proposed revisions to the Grievance Policy and Procedure will also provide the Council with a robust way of managing grievances by senior officers, thereby reducing reputational and related risks of major concerns being publicised as a result of gaps in the governing structure of the Authority.
19. The addition of the Disqualification by Association statement to the Safer Employment and DBS policy manages safeguarding risks in line with relevant provisions in the Childcare Act 2006 while reinforcing the Council's commitment to the safety and well-being of children.

Next Steps:

20. Publish the revised Grievance Resolution Policy and Procedure on s-net, update relevant guidance and arrange for the new policy to be disseminated to officers within HR and managers across the Council. The Safer Employment and DBS Policy has already been published in its current form.
21. Arrange for discussions to take place both within the HR&OD Service and between HR and management from across Council Directorates [as part of the HR Subgroup of the officer-led Continuous Improvement

and Performance Network] to explore whether the Ending Harassment, Bullying, Discrimination, and Victimisation Policy should be merged with, or incorporated into, the Grievance Policy.

Report contact: Prodromos Mavridis, Senior HR Advisor – Policy and Engagement

Contact details: 020 85417891; prodromos.mavridis@surreycc.gov.uk

Annexes:

Annex 1 – Grievance Resolution Policy and Procedure

Annex 2 – Safer Employment and DBS Policy

Sources/background papers:

The proposed changes have been developed through consultation between officers within the Council's HR service, and also informed by benchmarking against practice at other organisations within Local Government.

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Grievance Resolution Policy and Procedure

Commented [PM1]: Changed policy name – outlined in para 4 of Ctte paper.

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1. Introduction

1.1. Surrey County Council is committed to creating a positive working environment for its employees. The Council is keen to encourage staff to resolve any disagreements at work as early, locally, and informally as possible, and has developed a number of mechanisms to facilitate a positive approach to resolving differences in a restorative way.

1.2. The Council recognises that there may be circumstances in which informal attempts at resolving issues or concerns at work may not be appropriate and/or successful.

1.3. The Grievance Resolution Policy and Procedure has been designed to ensure that employees are aware of, as well as confident in, a structured way of raising matters that relate to their employment relationship with the Council.

The Council has a separate policy for Ending Bullying, Harassment, Discrimination and Victimisation, which has been specifically designed to address such concerns. Employees are encouraged to raise any issues related to bullying, harassment, discrimination or victimisation under the provisions of that policy.

1.4. Over the past few years, the Council has been growing and developing staff networks to help to resolve difficult situations. This includes the internal Mediation and Local Workplace Fairness Champions networks and more recently a Coaching Pool, Restorative HR and Restorative Facilitators. These networks have all been combined to form a Restorative Network to support employees [and managers] in resolving differences at work. The restorative approach recognises that the quality of working relationships may be influenced by multiple factors and incidents, and seeks to provide ways in which colleagues can constructively address differences of opinion and perspective in order to find a positive way forward. Detailed information on those networks is available on s-net.

Commented [PM2]: Additions/modifications as set out in para 5 of Ctte paper.

2. Scope

2.1. Who is covered by this policy.

2.1.1. This policy applies to Surrey County Council employees, including those engaged on 'bank' contracts. This policy applies to directly-employed Council staff working in schools (commercial services), however it does not apply to teachers and school support staff working in schools under the direction of a Governing Body, nor to school Governors. This policy does not cover employees of the Surrey Fire and Rescue Service.



2.1.2. It is important to note that this policy only applies to individuals who are directly employed by the Council. The policy does not cover contractors, agency workers, or elected Council Members.

2.2. Matters which fall outside the scope of the Grievance Resolution Policy and Procedure.

2.2.1. This policy and procedure will not apply in the following circumstances:

- Matters relating to individual performance and/or capability- these are covered by the relevant employment policies and procedures.
- Allegations of individual misconduct may be raised under the provisions of this Policy and Procedure by an affected employee (e.g. where they feel that the conduct of a manager has been unacceptable). However, this Policy is aimed at resolving grievances and not managing individual conduct. If a grievance investigation reveals concerns about the conduct of any Council employees, management may consider taking action under the Council's Disciplinary Policy and Procedure and/or exploring what support may be available to them (e.g. training).
- Job grading issues; job families and job evaluation, which are covered by the Council's policies on Reward and Job Evaluation. Further advice is available on s-net and from MyHelpdesk HR.
- Matters that do not directly relate to the employment of the employee raising the grievance. The Council welcomes suggestions from employees for improving working practices and service delivery, and managers at all levels should openly discuss new ideas and/or address relevant concerns. If an employee would like to raise such an issue in a more formal way, trade union representatives may be able to bring the matter to the attention of senior management as part of the appropriate Directorate Joint Consultative Committee framework.
- Complaints of discrimination, victimisation, harassment, and bullying, which should be raised under the Ending Harassment, Bullying, Discrimination and Victimisation Policy.
- Matters that fall under the definition of collective disputes, concerning terms and conditions of employment and/or other issues that are the subject of formal collective bargaining between the Council and its recognised trade unions. A dedicated Collective Dispute Policy is in place to cover those matters.
- Requests for flexible working made under the Right to Request Flexible Working, which are dealt with by the appropriate policy.



3. Policy on Grievance Resolution

3.1. General Principles

- 3.1.1. Employees and managers should always make an effort to raise concerns and resolve issues early, locally and informally.
- 3.1.2. At any stage of the formal procedure set out below, employees will have the right to be accompanied to meetings, normally by a trade union representative or a work colleague.
- 3.1.3. All Grievance Resolution meetings will be chaired by a Council manager/officer of appropriate seniority.

3.2. Responsibilities

3.2.1. Managers will:

- Deal reasonably and promptly with an employee's grievance within the specified timescales
- Treat all complaints seriously and sensitively and respond to complaints without bias
- Ensure that any individuals named in the grievance are advised early in the process about the details of the complaint against them and that they are advised of their rights and responsibilities under this policy and procedure

3.2.2. Employees will:

- Be responsible for raising matters of concern with their Department Heads/line managers informally as soon as reasonably practicable to ensure these matters are dealt with quickly and efficiently
- Work with the manager to seek resolution to problems
- Comply with all reasonable management instructions and endeavour to continue to work normally and with full co-operation while their grievance is being dealt with
- With appropriate support, co-operate as a witness with any investigations or with management action

3.2.3. Human Resources will:

- Provide advice and guidance to employees and managers on this policy and procedure
- Regularly review this policy to ensure it remains effective in resolving problems and disputes in the workplace



3.3. Grievances raised by an employee during another formal procedure.

3.3.1. The Council recognises that there may be some instances where an employee will decide to raise a grievance while they are involved in an ongoing case under another formal HR procedure. Where that happens and the grievance is related to events covered by/investigated under that process, the employee may either raise their concerns as mitigation against any potential sanctions, or the grievance may be considered concurrently as part of a multi-purpose hearing.

3.3.2. Where the concerns raised in the grievance are completely separate to the events covered by/investigated under the other formal procedure, the grievance can be managed completely separately from other proceedings. However, depending on the nature of the grievance and seriousness of the issues raised, management can make a decision to suspend formal proceedings while the grievance is being dealt with.

3.4. Additional support available.

3.4.1. The Council recognises that raising concerns and attempting to resolve grievances can be a stressful process and is keen to support the well-being of its employees and managers throughout the process. All Council employees have access to a confidential Employee Assistance Programme.

3.4.2. Trade unions can offer support to their members who are involved in a grievance resolution process whether as the employee filing a grievance or a colleague/manager who is facing allegations as part of a grievance submitted by another Council employee.

3.4.3. As a general rule, the Council expects its managers and employees to continue working as normal while a grievance is being dealt with under this Policy and Procedure. Managers who receive and/or oversee a grievance should consider its well-being implications on the aggrieved employee. Managers should attempt to have a conversation with the employee in order to consider whether an Individual Well-Being Assessment should be undertaken. Adjustments to an employee's work arrangements (e.g. shift patterns) should also be considered where appropriate. HR will be able to provide further advice on the support available to employees and managers.

Commented [PM3]: New/reinforced emphasis on well-being implications as mentioned in para 11 of Ctte paper.

4. The Grievance Resolution Procedure

4.1. Informal stage.

4.1.1. It is in the best interests of all parties to resolve any complaints and grievances quickly and informally through discussion when a problem or issue



arises. Employees are encouraged to discuss the matter with their immediate line manager in an attempt to resolve it. While this process does not form part of any formal procedure, managers should consider accommodating any employee requests to be accompanied at such a meeting.

4.1.2. The Council is committed to taking a constructive, restorative approach to the resolution of grievances and concerns at work. A framework of support has been developed to facilitate employees and managers taking positive steps towards resolving disagreements, addressing concerns, and strengthening working relationships. This includes networks of trained mediators/facilitators, coaches, and Fairness Champions. Further information is available on s-net and through MyHelpdeskHR.

4.1.3. Any actions agreed at the informal stage should be recorded in writing and copied to all relevant parties. The formal grievance resolution procedure set out below should only be used if attempts at informal resolution have not been successful.

4.2. Raising a Formal Grievance.

4.2.1. Employees should put their grievance in writing to the manager of their immediate line manager, or another Council officer/manager of appropriate seniority. When submitting a grievance, an aggrieved employee should make every effort to indicate their preferred way[s] of resolving it.

Commented [PM4]: Addition as set out in para 6 of Ctte paper.

4.2.2. The Chief Executive Officer/Head of Paid Service and their direct reports may lodge grievances with the Council's Monitoring Officer, who will oversee the process and update the Leader of the Council (or a Cabinet Member designated by the Leader) on its progress. If the CEO or one of their direct reports would like to raise a grievance but feel that it would not be possible or practicable to lodge it with the Monitoring Officer, they should discuss the issue with the Head of the HR&OD Service.

Commented [PM5]: New facility as set out in para 7 of Ctte paper.

4.2.3. Upon receipt of a grievance, a manager should assess whether it is practicable and/or appropriate for them to oversee the grievance resolution process. If they feel that they are not in a position to lead on resolving the grievance, they should attempt to identify a manager who would be suitable to oversee it and agree to hand the case over.

4.3. Timescales.

4.3.1. An employee who submits a grievance is entitled to receive an acknowledgement of receipt within five working days of submission. The acknowledgement should come from the manager who will be overseeing the process; if the case has been handed over from one manager to another, the



change should be notified to the employee together with the reasons for it (e.g. an upcoming period of extended leave that could delay the process).

4.3.2. The Council expects all stakeholders involved in a formal grievance to act in a way that facilitates and expedites its resolution. The Council also recognises that some grievances are likely to be more complex than others, and that the process can be delayed by unforeseen complications (e.g. in the case of sickness).

Consequently, there are no firm deadlines for completing the process, however the manager is required to provide the aggrieved employee with updates on the progress of a case at least every two weeks (up to a maximum of three weeks in exceptional circumstances). Updates will be provided in writing; this can be done by e-mail with the agreement of the employee. The employee may also request for copies of letters or e-mails to be sent to their nominated trade union representative.

Commented [PM6]: Changes as set out in para 8 of Ctte paper.

4.3.3. If the grievance resolution process is still ongoing two months after the date of the original submission of the grievance, the aggrieved employee may contact the relevant Head of Service, or other appropriately senior manager, and request their intervention. The Head of Service [or other senior manager] will respond to the employee within two weeks, outlining the reasons for the delay and committing to a firm timescale for a final response/resolution.

4.4. Assessing the need for an investigation, and commissioning arrangements.

4.4.1. The manager who will oversee the grievance resolution process should examine its contents and consider appropriate steps forward. Depending on the nature and complexity of a grievance, it may be reasonable to have an initial fact-finding meeting with the aggrieved employee prior to deciding whether to proceed with a full investigation into the issues raised.

4.4.2. The purpose of a fact-finding meeting is to allow the employee to explain their concerns in more detail and have an initial conversation about potential ways of resolving it. The manager may adjourn the meeting to gather further information prior to assessing whether to recommend a comprehensive independent investigation.

4.4.3. In less complex cases, the manager may propose making an attempt to resolve the grievance through a formal meeting with all parties involved.

4.4.4. After making an initial assessment on whether a full investigation would be beneficial, the manager will contact the aggrieved employee to share their thoughts with them. Where the manager does not believe that an investigation would be warranted, the employee can request them to reconsider their decision, however the employee does not have a firm right to insist on a formal investigation taking



place. Managers are encouraged to contact HR for detailed advice or if they are in any doubt.

4.5. The role of the Investigating Officer.

4.5.1. Where it is decided that a grievance requires a detailed investigation, the manager who oversees the process should nominate an 'Investigating Officer'. The Investigating Officer will typically be a Council employee who is capable of overseeing a formal investigation, and has had no involvement in the issues raised as part of the grievance. However, the Council may appoint an external investigator where that is warranted by the complexity of a case, seniority of the individuals involved, or need to maintain confidentiality. HR can offer advice on the relevant practicalities.

Commented [PMB7]: New facility as codified in para 10 of Ctte report.

4.5.2. The Investigating Officer will engage with appropriate stakeholders, and prepare a report to summarise the facts and viewpoints relating to the case. The Investigating Officer's report should clearly distinguish between findings of fact and any value judgements or recommendations that the Investigating Officer may wish to make as a result of those findings.

Commented [PMB8]: Modification/clarification as set out in para 9 of Ctte report.

4.6. Formal Grievance Resolution meeting/hearing.

4.6.1. In most cases, a formal meeting will be required in order to have a discussion about a grievance and make an attempt to resolve it (this may include agreeing future actions for addressing the concerns raised and organising a review meeting at a specified point in time). If the manager who oversees a grievance believes that it can be resolved without a need to hold a formal meeting, they should contact the aggrieved employee in writing to notify them of the outcome of the grievance resolution process.

4.6.2. The meeting will normally be chaired by the manager who oversees the process, who will need to identify appropriate attendees and arrange for them to be invited to the meeting with reasonable notice- normally at least 5 working days.

4.6.3. The meeting chair will also arrange for participants to receive relevant documents in good time. Any investigation report should be shared with the aggrieved employee and, where applicable, their trade union representative. However, managers must consider the need to safeguard the confidentiality of any sensitive data or information that may be included in an investigation report. Detailed advice is available from HR and Information Governance.



4.6.4. At the conclusion of a grievance resolution hearing/meeting, the chair will summarise the meeting outcome[s] and any next steps or actions agreed by participants. In some cases, a meeting may need to be adjourned. Where that happens, the chair should clearly communicate their rationale for adjourning the meeting.

4.6.5. The chair of a grievance hearing/meeting will write to the aggrieved employee [and, where applicable, their trade union representative] within 5 working days of the meeting with formal confirmation of the outcome[s] and an outline of the employee's right to appeal the decision[s] in line with this Policy and Procedure.

4.7. Appeal process.

4.7.1. If a grievance is not resolved to the satisfaction of the aggrieved employee, the employee may file an appeal with the relevant Head of Service or another manager of appropriate seniority. Managers who receive a grievance appeal will decide whether it would be appropriate to oversee the process themselves or delegate it to another competent officer of the Council (who will normally be more senior than the manager who had been responsible for overseeing the first stage).

4.7.2. The manager overseeing the appeal will acknowledge receipt of the grievance appeal within five working days. They will then need to assess the relevant information, including any investigation report and meeting notes, and make a decision as to whether there is a need for further investigation or fact-finding discussions to take place prior to holding an appeal hearing.

4.7.3. Where a need for a formal investigation is identified, the process set out earlier in this policy will be followed. Where, on the other hand, the manager is satisfied that they have sufficient information to hold an appeal hearing, they should proceed with arranging such a hearing and inviting the aggrieved employee and other appropriate participants to it.

4.7.4. Appeal hearings will be conducted in a manner that mirrors the approach to the first formal stage of this Procedure. However, any decisions at the appeal stage will be final; employees have no right to further escalation.

5. Collective grievances- principles and overview

5.1. Scope and principles of the collective grievance section.

5.1.1. This section is used to resolve collective grievances. A 'collective grievance' is a concern shared by a group of employees.



5.1.2. The Council and the trade unions agree that those involved will endeavour to settle all collective grievances fairly and promptly, resolve problems informally, and settle any differences as near as possible to their point of origin.

5.1.3. The Council's approach to dealing with collective grievances will broadly mirror its management of individual ones, although there are some considerations and procedural aspects that will be different due to the nature of a collective grievance.

6. Collective grievance resolution - The process

6.1. Informal discussions.

6.1.1. As set out earlier in this Policy and Procedure, employees are encouraged to resolve any grievances informally and discuss the matter with their immediate line manager.

6.1.2. When a group of employees find they have the same, or similar, concerns they may elect a spokesperson to discuss the matter with a union representative from one of the Surrey County Council Trade Unions. The Trade Union representative will approach the manager of the aggrieved employees with a view to considering whether the common concerns may be addressed informally using e.g. individual restorative meetings or a team restorative circle. If the employees are not trade union members, or do not wish for trade unions to be involved in the process, they may designate a group member as their representative for discussions with management.

6.2. First formal stage.

6.2.1. Where informal discussions have not resolved a collective grievance, the accredited trade union representative [or group member] acting on behalf of the aggrieved group will formally register the collective grievance with the manager of the group in writing outlining the substance of the grievance; any informal discussions already held to attempt to resolve the matter; the reasons why the group remain dissatisfied; and the remedy or outcome they seek. Copies of correspondence must be sent to the HR Advisory team.

6.2.2. Managers receiving a collective grievance will be expected to follow the process that applies to individual grievances [set out earlier in this document] as far as reasonably practicable.

6.2.3. If the needs of a particular collective grievance present complications to the application of the process, the manager overseeing it should take detailed advice from HR.



6.2.4. If, at the conclusion of the process, the aggrieved employees are dissatisfied with the management response, an appeal may be made to the Head of Service or other manager of appropriate seniority.

6.3. Collective Grievance Appeal.

6.3.1. The group's representative should write to the Head of Service, or other manager of appropriate seniority, sending a copy to the HR Advisory team.

6.3.2. They should set out the reason for the collective grievance; any points of dissatisfaction/disagreement with the management response; and the resolution that they seek. Copies of any correspondence arising from the previous stage should be provided as part of the appeal.

6.3.3. As with the first stage of the process, the approach to resolving a collective grievance appeal will mirror that of an individual one. However, the parties may agree for the issue to be referred to, or included in, deliberations within the framework of a Directorate Joint Consultative Committee.

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Safer Employment and DBS Policy

For employees, volunteers, and job applicants

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1 Introduction and terms of reference

Surrey County Council is committed to safeguarding and promoting the welfare of children, young people and vulnerable adults and expects all staff and volunteers to share this commitment.

The Council is committed to the fair treatment of its employees, potential employees, and volunteers, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background. The Council will treat all applicants for employment fairly, and will not discriminate unfairly against job applicants on the basis of a conviction or other information revealed.

The Council will check the criminal records of job applicants for roles which involve working with children and/or vulnerable people prior to their appointment. Once an employee has been appointed into a relevant role, their record will be checked every 3 years in order to maintain the currency of the information. The Council will observe all relevant requirements set in legislation and, wherever possible, good practice recommendations made by the Disclosure and Barring Service (DBS).

References to 'convictions', 'offences' and 'positive disclosures' within this policy will include cautions, final warnings, reprimands, the inclusion in 'barred' lists, and any other information that the DBS considers to be pertinent to the selection/continued employment of staff and volunteers whose work includes relevant regulated activities. When reference is made to DBS 'checks' or 'clearances', it will include Enhanced DBS checks, and checks for the inclusion in barred lists, as may be appropriate for a role/set of activities.

Arrangements and requirements for volunteers and job applicants will closely mirror those that apply to Council officers, however some provisions will not be identical across the three groups.

2. Scope

This policy applies to Surrey County Council employees, including those engaged on 'bank' contracts, and applicants for vacancies within the Council, as well as the Surrey Fire and Rescue Service. This policy applies to directly-employed Council staff working in schools (commercial services), however it does not apply to teachers and school support staff working in schools under the direction of a Governing Body, nor to school Governors.

It is important to note that this policy only applies to individuals who are, or wish to be, directly engaged by the Council to carry out work duties and voluntary activities on its behalf. The policy does not cover contractors or agency workers.

Relevant sections of this policy will apply to volunteers carrying out regulated activity on behalf of the Council. Where the policy refers to 'employees' or 'staff', relevant provisions will apply to volunteers and job applicants as far as reasonably practicable.

This policy will not ordinarily apply to Members of the Council. The Council's Democratic Services department will oversee, and provide advice on, any safeguarding requirements that may apply to specific Member appointments (e.g. to Committees with responsibility for fostering and corporate parenting).

It is important to note that this policy only applies to posts and people whose duties include 'regulated activities' as defined by relevant legislation¹. The Council will only perform DBS checks on volunteers and employees in/applicants for roles that require DBS clearance, and only to the level of clearance required for the safe and effective performance of the duties of each role. The recruitment and selection of candidates for positions which do not include regulated activities is covered by the Council's Resourcing/Recruitment Policy and associated guidance. The Safer Staffing Team will be able to assist with queries on the type and level of checks that may be appropriate for a particular set of work duties.

The Council expects hiring managers to assess the requirements of each vacancy and take appropriate steps to attract and select the best candidates. The Safer Recruitment model has been designed around safeguarding needs- applying it comprehensively to posts that do not require a DBS clearance is likely to be disproportionate and counter-productive. However, a manager may decide that certain elements of the model may be relevant to the recruitment or selection process for a vacancy that does not require a DBS clearance. HR and the Recruitment Team will be able to advise on potentially appropriate selection methods.

In designing any selection process, managers need to be aware that certain posts/functions are subject to checks, restrictions, or other stipulations that are unrelated, or additional, to any DBS requirements. Examples of such stipulations would include politically restricted posts, functions that require an employee to access secure Government servers or databases, or activities that come with a statutory requirement for specific qualifications and/or professional registrations.

Guidance documents provide more detail on the process that will be followed in order to determine whether a role requires post holders to obtain DBS clearance and determine the level of that clearance. Additional advice is available from the Safer Staffing Team, Recruitment Team, and HR.

¹ The guidance documentation that supports this policy provides information on the process for determining whether a role requires a DBS clearance. The statutory definition of 'regulated activities' can be found in Schedule 4 of the Safeguarding Vulnerable Groups Regulations 2006, as amended by the Protection of Freedoms Act 2012.

2.1. Disqualification by Association

In addition to convictions and other information that is disclosed as part of a DBS check, the Childcare Act 2006 stipulates that an individual can be disqualified from certain types of work which involve interaction with children under the age of 8 as a result of 'living in the same household where another person who is disqualified lives or is employed'.

There exists no mechanism for an employer to carry out background checks on persons that may be living with one of its employees or job applicants. The Council requires individuals who engage, or wish to engage, in relevant work on its behalf to disclose any relevant information to their line managers or other appropriate Council officer.

The Department of Education issues detailed guidance on the types of roles that may be covered by disqualification by association requirements².

Individuals who have been disqualified from working with children may be able to apply to Ofsted for a waiver to allow them to work in a relevant capacity. The Council is not permitted to submit or endorse any such applications on behalf of its staff, volunteers, or job applicants.

The Council will explore redeployment options with any employees who declare that they are disqualified by association. However, failure to disclose relevant information may result in disciplinary action.

Further advice is available from the Safer Staffing Team.

3. Safer recruitment model

The Council's safer recruitment model revolves around four key themes.

- **Deterring unsuitable applicants** by using a clear commitment to safeguarding and a selection process that includes face to face interviews.
- **Rejecting unsuitable applicants** through scrutinising applications, reviewing reasons for leaving previous employment, exploring gaps in employment history, and assessing the competence and motivation of candidates at interview
- **Preventing unsuitable appointments** by ensuring that those involved in selection processes are appropriately trained, that informed judgments are made when a candidate discloses a conviction, and that pre-employment checks are carried out to a high standard.

² The relevant documents are available online on <https://www.gov.uk/government/publications/disqualification-under-the-childcare-act-2006>

- **Preventing and detecting safeguarding risks through appropriate risk assessment**, ensuring adequate supervision of non-regulated activities that include employee contact with children and vulnerable adults, and reinforcing a culture of safety and responsiveness to the needs of the Council's vulnerable residents and service users.

The arrangements in this policy aim to ensure fair selection and employment processes which ensure that the Council can meet its commitment to safeguarding the well-being of its service users as well as its legal and social obligations with regards to the rehabilitation of offenders.

Records of recruitment processes and decisions will be kept for six months after the date of appointment of the successful candidate, at which point records relating to unsuccessful candidates will be deleted from the Council's systems and/or physically destroyed.

4 Key Responsibilities

The Recruitment Team can provide advice on how to deter unsuitable applicants. Hiring managers can ask the Recruitment Team to:

- Advise on the design and wording of advertisements so that these help deter those who may wish to harm the vulnerable. Adverts and other recruitment materials will include references to the Council's commitment to safeguarding and state that appropriate checks will be made, marked with Rehabilitation of Offenders Act (ROA) exemption if applicable.
- Ensure the online application process and any paper-based forms include content that:
 - reiterates the commitment of the Council to safeguarding
 - includes clear up to date job profiles
 - includes a field for applicants to disclose any past convictions
- Ensure the online application process and any paper-based forms include content that:
 - Requires applicants to provide reasons for leaving past employment
 - Notes that failure to disclose convictions is likely to result in disciplinary action which may culminate to sanctions up to and including dismissal
 - Outlines any exemptions from the requirements of the Rehabilitation of Offenders Act where appropriate
- Ensure that information sent to applicants clearly states whether a standard or enhanced DBS disclosure is required
- Seek references on a manager's behalf, providing a copy of the job description to the referee. If the applicant is not currently working in regulated activities, but has done so

in the past, a reference should be obtained from the relevant previous employer where possible.

- Provide template letters used to ensure the correct information is provided to the candidate prior to interview and when an offer of employment is made.

Managers will:

- Ensure appropriate checks are made on employees and job applicants whilst complying with the Rehabilitation of Offenders Act
- Make employees and applicants for employment aware of the recruitment of ex-offenders policy
- Take steps to encourage the timely renewal of the DBS clearance of employees, particularly those who are not at work when their current clearance requires renewal (e.g. someone absent on maternity leave, long-term sickness or a career break)
- Confirm professional qualifications/registration with relevant bodies and keep [paper and/or electronic] records of such confirmation.

Chairs of interview panels will:

- Check documentation as required to ensure that candidates are eligible to work. Only original documents will be accepted, with copies being taken and signed to confirm sight of the original.
- Maintain records in accordance with the provisions of this policy
- Make candidates aware at interview that any offer of employment would be subject to satisfactory clearances including DBS disclosure and employment references.
- Explore gaps in employment history directly with the candidate
- Apply the recruitment of ex-offenders policy when recruiting to posts that are not exempt from the Rehabilitation of Offenders Act requirements.

The safer staffing team will:

- Ensure that new appointees to roles that require a DBS clearance have obtained the appropriate level of clearance before commencing work
- Produce reminders to encourage the timely renewal of DBS clearances for employees in roles that require a DBS clearance and their line managers

- Maintain the relevant electronic databases.
- Review DBS disclosures

Applicants, staff and volunteers will

- Disclose any convictions, including unspent ones, when are applying for or occupying any position that has exemption from the Rehabilitation of Offenders Act. Any failure to disclose a relevant conviction will be dealt with under the provisions of the Council's Disciplinary policy and may result in the dismissal of the employee.

The HR&OD team will:

- Provide appropriate recruitment and selection training
- Ensure recruitment and selection material and contracts include required information

Heads of Service will:

- Apply safer recruitment practice and procedures
- In conjunction with the Safer Staffing Team, decide which posts require disclosure, the level of disclosure required and actions to take when a positive disclosure is received
- Appoint counter signatories where needed
- Arrange for funding of the required checks within their service area

Service or Designated counter signatories will

- Apply the procedures and make the final decisions on disclosures and their outcome. The role is to confirm the validity of an application for a DBS disclosure and check relevant documents

The Head of HR and Organisational Development is the Lead Counter signatory for SCC (excluding staff employed in schools under the direction of a Governing Body, agency workers, and other contractors) and will:

- Ensure that our safer recruitment practice and procedures comply with relevant legislation and national protocols
- Promote good practice within Surrey County Council and with our partners, and champion improvements where appropriate

- Lead on the continuous improvement of systems and processes around the recruitment and continued employment of staff undertaking regulated activities.

5 How to use the model

Job descriptions will be reviewed to ensure they are accurate and up-to-date and to check whether any risk assessments are required. For example, if the role involves working with confidential information, or potentially having unsupervised access to children or vulnerable adults, the risk assessment should set out what controls should be in place and provide topics to be explored in the interview.

Managers and employees participating in selection processes will take appropriate steps to maintain confidentiality as well as the security of sensitive personal information relating to candidates.

5.1 Checks before invitation to interview

Job applications for posts requiring DBS clearance will be scrutinised to:

- Check for gaps in employment
- Review reasons for leaving previous employment
- Ensure contact details for referees have been provided by the candidate. References will only be requested for candidates who have accepted a conditional offer of employment.

5.2 Interviews

5.2.1 Question design

Face to face interviews are mandatory for posts requiring a DBS clearance and will explore directly with the candidate

- Competence for the role
- Any gaps in their employment history
- Motivation and values
- Any convictions that the individual has shared – questions should only concern unspent convictions, unless the nature of the work and/or DBS clearance requirements warrant questions being asked about any kind of past convictions. It is legitimate for an employer to ask directly about an employee's previous convictions and, unless the position is exempt from the requirements of the Rehabilitation of Offenders Act, the employee does not have to disclose any convictions that are spent. Interview panels need to be prepared to have open and measured discussions on any offences that may be relevant to the position.

Direct and probing questions can be asked at interview, although care must be taken to avoid any questions that a candidate may view as discriminatory. Please contact the Recruitment Team if you are uncertain around the appropriateness of a proposed interview question. It is important to be diligent in ensuring that the right person is selected for the job and explore any areas where evidence and/or clarification needs to be provided, for example:

- any aspect of the applicant's background where there may be a weakness or lack of knowledge or experience;
- any qualifications that a candidate claims to have obtained should always be verified
- any information that appears to be incomplete (for example gaps between jobs).

It is important that satisfactory explanations for any gaps in employment are obtained. Interviewers must take care to ask any such questions in a tactful manner, and only seek to explore any potential issues from a safeguarding perspective.

“Warner style” questions may be used to help check the suitability of applicants to work with children. This approach, in addition to assessing previous experience, skills and qualifications, explores each candidate’s attitudes and motives to work with children.

Warner style questions ask about: -

- Why someone wants to work with children
- How they deal with difficult issues in relation to work with children
- How individuals ensure they maintain a professional working relationship with children and do not overstep the boundaries of their role

5.2.2 Document checks

At the interview, hiring managers will check and verify

- Identity documents
- Eligibility to work in the UK

They will ensure that documents are valid, current and original. Photocopies or documents printed from the Internet are not normally acceptable. Look for evidence of tampering and refer any queries or irregularities for the Service counter signatory to take up with the applicant.

Original documents will be scanned or photocopied. Any information on unsuccessful candidates will be securely maintained for a period of six months from the date of their interview and subsequently deleted and/or physically destroyed.

5.3 Checks before appointment

5.3.1 References

Two references covering the last three years must be obtained, including at least one from the current/most recent previous employer.

If the role is in social care and the applicant is not currently working with children or vulnerable adults, but has done so within the last five years, a reference should be obtained from the relevant previous employer.

References provide factual information to support appointment decisions, requests must ask for information on

- The candidate's suitability for the post
- The qualities and experience the candidate has
- Details of any disciplinary offences or concerns around the safeguarding of vulnerable individuals. Care and discretion will be exercised in formulating questions around, and/or basing hiring decisions on, disciplinary sanctions for actions/ or omissions that have no safeguarding implications- any disciplinary sanctions (e.g. formal warnings) that have expired will normally be disregarded.
- The reasons for a candidate leaving their previous employer
- The referee's relationship with the candidate.
- Any concerns around the suitability of the candidate for working with vulnerable individuals.

References should:

- Ideally be obtained from a line manager
- Be as complete as possible. If previous employers are only willing to provide the Council with confirmation of dates of employment and job titles, additional references should be sought from organisations that had employed the candidate in the more distant past (i.e. more than three years before their application) and/or credible individuals who are able to provide a character reference for the candidate.
- Be checked against application forms to verify dates of employment.
- Be followed-up by e-mails or telephone calls to the referees if management are concerned about a referee's authenticity or if further information or clarification are needed. Managers need to be aware of the data protection implications of any such contact; further advice is available from the Recruitment Team and HR.
- Relate directly to the candidate's application for the specific vacancy; testimonials and open references are not normally acceptable, but may be followed up [with the candidate's permission] with reference requests to their authors.

- Where a candidate has been self-employed and/or doing work that is not subject to relevant reporting arrangements (e.g. freelance translation, equity/derivative trading on own account, management of a small business owned by their own family), the hiring manager should discuss referencing with the candidate and arrange to identify appropriate referees, potentially including clients and/or those who may be able to provide a character reference.

Managers should keep details of any contact with referees.

In deciding whether to proceed with an appointment, hiring managers should assess relevant risks in terms of incomplete information, details of any past disciplinary allegations/offences and/or other any other concerns raised within references. Particular care should be exercised if any information in a reference relates to sickness absence, disability and/or long-term health conditions. HR will be able to provide further advice on individual cases.

The recruitment team has template letters which should be used to ensure the correct information is provided to the candidate prior to interview and when an offer is made.

5.3.2 Professional registration

Where a professional qualification is required for the role, managers will seek to obtain formal confirmation from the awarding body or professional register, and will keep a record of that on the employee's file.

5.4 DBS checks and regulated activities

Below is a brief summary of the roles that require a Disclosure and Barring Service check. Please refer to guidance documentation on Safer Employment and DBS, which includes more information together with a number of flowcharts. The flowcharts will help you assess whether a position is eligible for a criminal record check and whether the check is an enhanced check or an enhanced check [with or without children's or adults' barred list].

Every candidate for a role within Surrey County Council that includes the performance of regulated activities will be subject to a DBS check prior to their appointment. Once in post, employees will normally undergo further checks every three years, however managers may ask for checks to be carried out at shorter intervals.

When an employee submits a DBS renewal before the third anniversary of their previous check but checks are still pending on that anniversary, their Head of Service/Area Director may authorise the employee to continue carrying out regulated activities even after three years have elapsed from the date of their previous check.

The Head of Service/Area Director will need to carry out a risk assessment and obtain a formal declaration from the employee reporting any offences or other disclosable events that have occurred since the date of their last check. The Head of Service/Area Director will then submit a request for approval by the Employee Services HR Group Manager or other designated signatory. This arrangement can remain in place until the outcome of the DBS request is confirmed, and cannot exceed 12 months under any circumstances.

The Council does not require any of its employees to subscribe to the DBS Update Service, and will not ordinarily reimburse any subscription fees. However, Council employees who are registered with, and have a current subscription to, the DBS Update Service may liaise with their line manager and request to have their records checked through the Update Service.

5.4.1 Working with Children – regulated activities

- i. Unsupervised activities: teach, train, instruct, care for or supervise children or provide advice/guidance on wellbeing, or drive a vehicle only for children;
- ii. Work for a limited range of establishments (“specified places”) with opportunity for contact: for example schools, children’s homes, child care premises. Not work by supervised volunteers.

Work under (i) or (ii) is regulated activity only if done regularly (at least once a week). The Department for Education has produced statutory guidance on supervision to describe the considerations an organisation should make when determining whether or not an individual is supervised to a reasonable level for the role.

- iii. Relevant personal care, for example washing or dressing; or health care by or supervised by a professional;
- iv. Registered childminding; and
- v. Foster-carers.

5.4.2 Working with Adults – regulated activities

- (i) Providing health care
- (ii) Providing personal care
- (iii) Providing social work
- (iv) Assistance with cash, bills and/or shopping
- (v) Assistance in the conduct of a person’s own affairs
- (vi) Conveying - transport an adult because of their age, illness or disability either to or from their place of residence and a place where they receive health care, personal care or social care.

5.4.3 Candidates who have resided overseas

Applicants of any nationality who have been living outside of the United Kingdom for any period in the five years before their appointment must obtain relevant disclosures from the countries where they have been residing. The disclosure documentation is often described as a 'Certificate of Good Conduct'. The UK consulates (or embassies or High Commissions) of the countries in question should be approached for advice. It is the candidate's responsibility to provide the Council with appropriate documentation, including certified translations for official documents issued by countries outside of the EEA, and this should be checked by the hiring manager before appointment.

It is important to note that any DBS checks will not establish the presence or currency of work permits. To check whether work permits are in place contact the Border and Immigration Agency Helpline and Employer Checking Service:
www.bia.homeoffice.gov.uk/employingmigrants.

5.4.4 Volunteers

Volunteers who carry out regulated activities require the same level of DBS clearance as an employee undertaking those activities. Arrangements for obtaining and renewing clearance for volunteers will mirror those applicable to Council staff.

5.4.5 Positive disclosure

Having a criminal record will not automatically prevent anyone from working for the Council in a position that requires DBS clearance. Any risks should be assessed pragmatically, taking into account factors such as the nature of any disclosures/offences, the type of duties undertaken, and the amount of time that has passed since the offences/events in question took place.

Any concerns identified regarding disclosures/convictions identified as part of a DBS check should be discussed with the relevant candidate before management decide whether they wish to proceed with the appointment. Further advice is available from HR.

5.4.6 Handling disclosure information

- Information relating to disclosures must be kept securely regardless of whether it is in electronic or paper format.

- Disclosure information will only be kept for the purpose it was requested as the applicant will have given consent for that.
- For services and activities regulated by the Care Quality Commission, the CQC expects the Council to maintain records of certain types of information from DBS certificates. The CQC publishes relevant guidance- managers can refer to the CQC documents or speak with the Safer Staffing team for further advice.

5.5 Withdrawing an offer

Hiring managers will discuss directly with the candidate any concerns that they may have around the content of a candidate's references and/or DBS disclosures. If a manager decides not to proceed with the appointment of a candidate, they should liaise with the Recruitment and Safer Staffing Teams in order to formally notify the candidate of their decision as well as the rationale for it. Advice is also available from the HR Advisory Team.

5.6 Training

5.6.1 For hiring managers and participants in selection processes

Council officers involved in the recruitment process will participate in training to assist them with identifying and assess the relevance and circumstances of offences and other positive disclosures. The training will also cover relevant legislation relating to the employment and rehabilitation of ex-offenders.

5.6.2 For all staff

Safeguarding and associated training is available for all Council employees, and matters around the rehabilitation of offenders form part of the Council's diversity, inclusion and well-being offer.

6 Induction

New employees are introduced to the culture and working practices of the organisation at every step of the recruitment and selection process, and this continues throughout their 'onboarding' and settling into their new role. Participation in formal induction events can be very useful, but it is only a small part of the overall hiring/induction experience.

Throughout the hiring and onboarding process, managers and team colleagues should make every effort to highlight and reinforce the commitment of the Council to safeguarding vulnerable individuals. Managers will support newly-appointed

employees in developing an understanding of relevant policies and procedures, as well as the confidence to report any concerns that they may have around inappropriate behaviour and/or safeguarding implications of working practices within and beyond the Council.

7 Reporting safeguarding concerns

All employees have a duty to disclose concerns about behaviour that might indicate that the safety or welfare of children, young people and/ or vulnerable adults is at risk. Advice on the management of allegations or concerns is available from safeguarding specialists (such as the 'Local Authority Designated Officer' and Safeguarding Advisors) within the Council.

Employees can raise a concern by speaking in confidence to their manager, HR, the SCC safeguarding teams, or through [Expolink, the external whistleblowing service](#).

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People, Performance and Development Committee
29 January 2018

HR Policy Changes: Ending Employment Policy and Dying to Work Charter

Purpose of the report:

The People, Performance and Development Committee is asked to consider and endorse the consolidation of a number of policies relating to the termination of employment relationships between Surrey County Council and its officers into a single document incorporating a reference to the 'Dying to Work Charter' which the Council aims to sign in due course.

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Recommendations:

It is recommended that the People, Performance and Development Committee:

- i. agrees to the consolidation of provisions around Resignation, Retirement, Death in Service, and Severance/Redundancy into a single policy document. It may be useful for the Committee to note that some of these provisions are currently not technically labelled as 'policies' but published as part of documents focusing on procedural guidance (such as management checklists to ensure payroll and associated records are updated with details of officers who leave the Council's employment). The policy can be found as Annex 1 to this document; and
- ii. agrees in principle with an officer recommendation for the Council to sign up to the Dying to Work Charter in order to codify a commitment to support Council officers who are diagnosed with terminal illness. A template copy of the Charter can be found as Annex 2 to this document.

Introduction:

1. Officers in the Human Resources and Organisational Development (HR&OD) Service at Surrey County Council (SCC) have identified a

relative lack of consistency in the current policy documents dealing with resignations, death in service, and retirement.

2. The Council has recently adopted a revised Severance Policy which covers redundancy as well as efficiency terminations and incorporates guidance on pension calculations, tax implications and other associated matters.
3. Officers in HR&OD as well as Trade Union representatives of SCC's recognised unions have been alerted to the Dying to Work Charter which aims to support employees who have been diagnosed with terminal illness. Officers have had informal preliminary discussions with Members around the potential for the Council to commit to signing the Charter, which will not be an employment policy in its own right, but may have some policy impact on conditions of service relating to sickness absence and death in service.

Ending employment

Key Issues:

4. The Council currently has a 'Termination of Employment Policy' in place, which was last updated in June 2011. The focus of that document is on practical and procedural issues as opposed to policy principles. The Council's Employee Services department has developed extensive procedural guidance that is separate and additional to that Policy and is better-placed than HR to own and maintain those documents. The proposed Policy makes very limited reference to procedural arrangements, in the spirit of providing Employee Services officers with the flexibility to update their processes in line with developments in information systems. The proposed Policy also incorporates provisions around severance terminations and resignations which are not mentioned in the current Policy.
5. The current Termination of Employment Policy mentions a 'normal retirement age', a provision that is no longer legally compliant as it has been superseded by the 'state pension age' and employers are no longer able to impose retirement on the grounds of age. The proposed new Policy includes no reference to a 'normal retirement age' and formally codifies management practice at the Council.
6. The current Termination of Employment Policy mentions a firm entitlement for officers who commenced employment with the Council prior to 26 June 1985 to receive a death in service benefit under a Compensation Scheme. Officers understand that this may have been a legacy provision exclusively applying to staff who had been ineligible to join the Local Government Pension Scheme (LGPS) and detailed work will need to be undertaken in order to establish whether this continues to apply and whether any current Council employees would be entitled to it. Consequently, the proposed new Policy includes a reference to the potential for that entitlement to apply and a suggestion for detailed HR advice to be requested for relevant queries.

7. The proposed new Policy includes a reference to the Dying to Work Charter provisions that codify a commitment to support employees who have been diagnosed with a terminal illness. The Charter itself will have to be adapted and formally signed, however its relationship with the Ending Employment Policy is tangential.
8. Current provisions on resignations place a firm requirement on management and HR to continue with any disciplinary investigations that may be pending with regards to allegations faced by an employee who resigns from the Council. While this provision is critical for investigating safeguarding concerns, officers feel that it can be excessive in other cases as a disciplinary investigation is often a rather resource-heavy exercise and there may be little return on the Authority's investment. The proposed new Policy gives discretion for services to decide whether there is benefit to continuing with investigating [non-safeguarding] allegations despite an employee resignation and a recommendation for management to seek HR advice before making such a decision.

Financial and value for money implications:

9. It is expected that the proposed policy modifications will not result in any discernible financial impact to the Council although some savings in officer time may be generated through the removal of the rigid requirement to investigate disciplinary allegations against employees who have resigned from the Council's employment.

Equality and Diversity implications:

10. The proposed policy revisions are expected to create a minor positive impact on Equality and Diversity through evidencing the Council's commitment to equal opportunities and the removal of references to the 'normal pension age'.

Risk Management implications:

11. The proposed policy modifications are not expected to substantially alter the way in which the Council manages risk, however, the removal of references to the 'normal pension age' should minimise risks around any complaints or legal claims around age discrimination.

Next Steps:

12. Publish the proposed new policy on s-net with clear references to relevant guidance and arrange for the new policy to be disseminated to officers within HR and managers across the Council.

Report contact: Prodromos Mavridis, Senior HR Advisor – Policy and Engagement

Contact details: 020 85417891; prodromos.mavridis@surreycc.gov.uk

Annexes:

Annex 1 – Ending Employment Policy

Annex 2 – Dying to Work Charter

Sources/background papers:

The proposed changes have been developed through consultation between officers within the Council's HR service.

Ending Employment Policy

Content list – please select from the list below to jump to the relevant section.

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1. Introduction and scope of the policy

Surrey County Council operates a comprehensive framework of policies regulating various aspects of the employment relationship. This policy summarises the approach of the Council to concluding contractual relationships with staff whose employment terminates due to resignation, redundancy/severance/efficiency, retirement, or death in service.

This policy only covers individuals directly employed by Surrey County Council. This policy should be read in conjunction with the Change Management Policy for terminations due to redundancy or severance, and it does not apply to dismissals for reasons of conduct or capability; specific HR policies cover the management of those issues.

This policy acknowledges that a small number of employment contracts may be terminated by mutual agreement between the Council and the affected employee, however it does not seek to define a process for such terminations. Furthermore, circumstances may arise in which the Council may need to dismiss an employee for frustration of contract (e.g. due to visa expiry) or 'some other substantial reason', however it is not possible to codify them into a streamlined process.

2. Ending employment- reasons and notice periods.

Employment may be terminated in a number of circumstances led by the employee e.g. resignation or retirement. Alternatively Surrey County Council, as the employer, may terminate employment on grounds of conduct, capability, redundancy, statutory bar (e.g. an employee losing their entitlement to live in the UK), "some other substantial reason" or compulsory retirement. Employer-led termination is often referred to as dismissal. In some circumstances, the employee and the Council may come to a mutual agreement to terminate the contract of employment- the terms of such an agreement may be negotiated on an individual basis.

Managers are reminded that the Council has a number of payroll and associated processes and procedures that need to be followed when an employee is due to leave the organisation- these are largely independent from the reason for ending employment. Detailed information is available on s-net and from MyHelpdeskHR.

Notice periods are governed by a range of contractually defined entitlements and statutory provisions. A summary of notice requirements for Council employees is set out in the Table 1:

Length of service with the Council	Notice to be given by the Council	Notice to be given by the Employee
Employees in probationary period- all grades	1 month	1 month
Monthly paid employees up to and including SP7		
Under 5 years	1 month	1 month
Between 5 and 12 years	1 week for each year of continuous service	1 month
Over 12 years	12 weeks	1 month
Employees on grades SP8 – SP10		
Under 9 years	2 months	2 months
Between 9 and 12 years	1 week for each year of continuous service	2 months
Over 12 years	12 weeks	2 months
Employees on grade SP11 and above- regardless of length of service.	3 months	3 months
<i>Table 1: Summary of notice periods for Surrey County Council employees.</i>		

3. Resignation

3.1. Introduction

Employees who wish to leave their post with the Council in order to take up employment with a different organisation or pursue non-work interests are able to resign from Surrey County Council by providing written notice in accordance with the timescales detailed in the table above. Employees and managers should follow appropriate procedures to ensure a smooth handover and address all relevant practical issues.

3.2. Process

Employees are required to submit their resignation by letter or e-mail to their line manager, setting out the effective date of the resignation. They are also able to indicate their reasons for leaving in that letter.

A line manager who receives notice of resignation from one of their direct reports should arrange a meeting with the employee to discuss arrangements around the precise leaving date, any outstanding annual leave, handing over pieces of work and Council equipment etc. Where a physical meeting is not possible to arrange, the relevant discussions can be held over the phone or in writing.

3.3. Resignation during disciplinary proceedings

If an employee tenders their resignation while being under investigation for allegations of misconduct, the Council will reserve the right to continue with an ongoing investigation. If the allegations relate to safeguarding concerns, the Council will always investigate them as thoroughly as possible. If there are no safeguarding implications, management should take advice from HR and assess whether it would be in the interests of the Council to continue with the process until its conclusion.

If an investigation is concluded and a decision is made to proceed to a disciplinary hearing, the employee will have the right to be invited to the hearing and be accompanied [normally by a work colleague or union representative], even if the hearing takes place after their last day of service. Managers need to bear in mind that in certain cases the outcome of a disciplinary hearing may affect registration for a regulatory body such as the Law Society or Health Care Professional Council (HCPC).

3.4. Withdrawing notice of resignation.

An employee may decide to withdraw a formal letter of resignation. Their line manager should decide whether withdrawing the resignation would be practicable and beneficial to the Council. If the manager decides to agree to the withdrawal of notice, they should contact Employee Services immediately asking for the resignation to be cancelled.

4. Severance

4.1. Introduction

It is Council policy to take all reasonable steps to avoid compulsory redundancies and where such redundancies occur nevertheless for unavoidable business reasons, to keep the number of redundancies to a minimum.

4.2. Scope

The severance scheme applies to termination of employment on the grounds of compulsory redundancy, voluntary redundancy, or efficiency, and covers all Surrey County Council employees who are eligible to join the Local Government Pension Scheme, the Teachers' Pension Scheme or the NHS Pension Scheme, including schools employees managed by a Governing Body, and regardless of whether an employee has actually joined their respective pension scheme.

It is important to note that fixed-term posts are included in the scheme, as the deletion of a fixed-term post is considered a redundancy. However, an employee who has a fixed-term contract to cover for the absence of a substantive post-holder (e.g. due to maternity or sickness) will not generally be considered as redundant at the expiry of that contract. Detailed advice to employees and managers is available from HR.

4.3. Process

All severance terminations which represent a cost to the Council must be approved by the Severance Review Group which consists of a number of senior officers from across the organisation.

Managers and employees are encouraged to refer to the Council's Employee Severance Policy and Guidance document, which provides further detail on procedural arrangements, redundancy pay calculations, pension and tax implications.

5. Death in service

5.1. Introduction

The death of an employee can be a very stressful and upsetting time for their family and colleagues. Managers and employees of the Council should approach such an occasion with appropriate sensitivity and thoughtfulness. It is particularly important to be careful in communications so as to minimise distress to relatives, friends and colleagues both in the workplace of the deceased employee and with associated services and partner agencies.

5.2. Support Available

The Council is keen to support the colleagues as well as [any] family members of employees who die in service; confidential one-to-one support is available via the Employee Assistance Programme, while coaching and counselling may also be made available through trained individuals within the organisation.

There is no automatic entitlement to a death in service benefit under Council policies, however employees participating in the LGPS, TPS and other pension schemes are likely to be eligible to benefits under the terms of the respective scheme.

There is also support available for employees who have been diagnosed with a terminal illness- however, this is not within the scope of this policy and will be outlined in the relevant Council documentation and through the commitment of the organisation to the Dying to Work Charter.

5.3. Process

Normally the immediate line manager should be identified as the “key contact” responsible for implementing the necessary arrangements.

As soon as the death of an employee is notified to Surrey County Council, the following individuals should be informed without delay:

Line manager/Supervisor, and Head of Service

Immediate and associated work colleagues and partner organisations

MyHelpdeskHR – for practical support as well as pension-related contacts

Occupational health – if the deceased employee’s health was under review

S-Net directory editors

In the event of a death at work, Health and Safety Manager [who will arrange to contact the Health and Safety Executive where appropriate].

It is the key contact’s responsibility to maintain communication with the next of kin as appropriate. Key contacts should be mindful that the immediate family of the employee may be very distressed- where that is the case, it may be sensible for another relative or friend to be nominated as a contact. Normally it is comforting for relatives to hear that a senior work colleague knows of the situation and is offering support, and helpful for the bereaved to see or have contact with someone who knew their relative at work.

The key contact should arrange for the relevant Head of Service or other senior manager to draft a letter of condolences providing further information and advice, including a reference to the Employee Assistance Programme.

On notification of a death of an employee, any balance of salary/wage will be immediately frozen until such time as the next of kin can be legally proven. This will take the form of sight of probate, letters of administration or the completion of a Statutory declaration. Only when the next of kin has been legally established will any balance of pay be released. It is important for the key contact to advise the bereaved relatives that the monies often take several weeks to be released. Banks may be able to make some funds available in lieu of the 'frozen' pay until the legalities are complete- however, arrangements may differ between banks.

The Employee Services Team has appropriate procedures in place to deal with the administration around a death in service. They will be able to calculate any applicable benefits in readiness for payment- however, it may be necessary for them to liaise with the Teachers' Pension Scheme or another pension provider/authority external to the Council.

An additional compensatory scheme may apply to employees who joined the County Council prior to 26th June 1985 and who die in employment (Compensation Scheme). MyHelpdeskHR will be able to advise on the scheme.

In some cases financial liabilities may be owed to the County Council, or may fall due to be deducted from the deceased's pay e.g. car loans, car lease, relocation loan, mortgage subsidies, attachment of earnings in respect of court debt. Where possible, consideration should be given to waiving the recovery of outstanding monies; sums of less than £5,000 may be waived by a Corporate Director whilst sums in excess of £5,000 must be reported to the People, Performance, and Development Committee.

At a suitable time, and with considerable sensitivity, the key contact will need to oversee the practical steps associated with an employee leaving the Council as set out in the relevant processes for leavers. The desk of the deceased employee will need to be cleared and any personal items identified and returned to their next of kin.

It is recommended that colleagues who regularly liaised with the deceased are informed of the employee's death. Similarly the deceased's name should be removed from any distribution lists and the s-net directory. An automatic response should be arranged for the e-mail account of the deceased employee.

In a society where people may practise any faith or none, it is good practice to avoid making assumptions about funeral arrangements. Thus, it is very important that the key contact consults with the deceased's family about appropriate means by which the deceased's colleagues may show their respect for the deceased.

Occasionally colleagues compile a "remembrance" book that celebrates their colleague's life and work; this can be a source of consolation for the bereaved and help colleagues to deal with their own sense of loss and grief.

6. Retirement

6.1. Introduction

There is no Compulsory retirement age for Surrey County Council employees. Employees should, wherever possible, be permitted to continue working for as long as they wish to do so. Employees may voluntarily retire at a time of their choosing and, depending on the terms of their pension scheme, they may be entitled to claim pension benefits at any time from age 55 (reductions for early payment may apply). An employee who is a member of the Local Government Pension Scheme or the Teachers Pension Scheme is entitled to pay into the Scheme until they reach 75 years of age.

6.2. Ill-health retirement

Early retirement may be appropriate for, and available to, employees who are unable to continue working due to health reasons, however the process will depend on pension scheme arrangements and occupational health advice.

6.3. Flexible Retirement

Surrey County Council employees may apply for flexible retirement in accordance with the following terms:

In order for an employee to be granted flexible retirement the employee must consent to a permanent reduction in grade or hours of employment equivalent to at least 20% of their contractual pay.

Depending on operational requirements and the individual circumstances of each case and subject to paragraph 4 and 5 below, the Council will have discretion to determine whether flexible retirement should be granted.

It will also be at the discretion of the Council to determine what reduction in hours worked should apply if flexible retirement is granted, but the reduction must be a minimum of at least 20% of the employee's contractual pay.

Individual cases must be approved by the employee's Service Director or Head of Service/Assistant Director except where the applicant themselves is a Director or Head of Service/Assistant Director, in which case approval must be obtained from the relevant Member Committee responsible for the appointment of the post.

Where payment of a pension for an employee who is not a Director or Head of Service/Assistant Director would result in a cost to the pension fund, approval for payment must also be sought from the Severance Review Group (SRG).

If an employee is granted flexible retirement they would be required to take all of their accrued pension benefits and not given the option to take part of their pension benefits.

An employee would not be able to take flexible retirement more than once.

Further guidance and advice on flexible retirement is available on s-net and from MyHelpdeskHR.

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This charter sets out an agreed way in which ‘Sample Company’ employees will be supported, protected and guided throughout their employment, following a terminal diagnosis.

- We recognise that terminal illness requires support and understanding and not additional and avoidable stress and worry.
- Terminally ill workers will be secure in the knowledge that we will support them following their diagnosis and we recognise that, safe and reasonable work can help maintain dignity, offer a valuable distraction and can be therapeutic in itself.
- We will provide our employees with the security of work, peace of mind and the right to choose the best course of action for themselves and their families which helps them through this challenging period with dignity and without undue financial loss.
- We support the TUC’s Dying to Work campaign so that all employees battling terminal illness have adequate employment protection and have their death in service benefits protected for the loved ones they leave behind.

Chief Executive of Sample Company

TUC Regional Secretary



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People, Performance and Development Committee
29 January 2018

Policy Statement on voice recording of HR meetings

Purpose of the report:

The People, Performance and Development Committee is asked to consider a proposal for Surrey County Council (SCC) to adopt a formal policy statement codifying a facility for employees to request permission to use audio recording devices at formal meetings which take place under the provisions of its employment procedures. This proposal has originated from the [then] Head of Paid Service and senior management within the Council who have asked officers in the Human Resources & Organisational Development Service to consider a potential solution following reports of staff requesting to record meetings.

Recommendations:

It is recommended that the People, Performance and Development Committee agrees to the introduction of a policy statement on employee requests for permission to record formal meetings which take place as part of its employment procedures. The proposed statement is attached to this report (Annex 1).

Introduction:

1. Officers participating in discussions within Surrey County Council's (SCC) Strategic Risk Network group brought to the attention of the [then] CEO/Head of Paid Service reports that officers participating in meetings under HR policies and procedures (most commonly on the issues of sickness, grievance, and/or discipline) had requested permission to record those meetings using their mobile telephones or other portable electronic devices.
2. The Strategic Risk Network asked officers in the Human Resources and Organisational Development (HR&OD) Service to explore the possibility of introducing a Policy that would allow officers to record HR meetings- potentially mirroring the way in which public Council meetings can be recorded by journalists and members of the public.
3. At the September meeting of the People, Performance and Development Committee (PPDC), Members asked officers in the HR&OD Service to prepare a relevant proposal for deliberation by the Committee.

4. Officers within the HR&OD Service have investigated the relevant legal, technological, and social developments and asked for input from the senior officers/workforce leads who participate in the HR Subgroup of the Continuous Improvement and Performance Network of the Council (CIPN HR).

Policy Statement on the Recording of HR Meetings

Key Issues:

5. The Council currently has no policy on whether employees are permitted to obtain audio recordings of meetings that take place under its employment procedures.
6. The Council normally arranges for formal meetings of this type to be minuted by an officer who is not directly associated with the proceedings- typically one whose role focuses on administrative or secretarial duties.
7. Such meetings are normally held privately but the contents of the discussions held therein may end up being shared more widely. In cases where an employment dispute culminates in legal action, the minutes of those meetings may have to be published as part of the proceedings.
8. There is no explicit legal right to use, or prohibit from using, voice recording devices to capture audio at such meetings, however, there normally exists a requirement for the parties involved to consent to the meeting being recorded.
9. A number of employers maintain a policy of not providing such consent. A proportion of those employers also consider unauthorised recording of HR meetings to constitute a disciplinary offence. However, the enforceability of such a provision seems to be less than universal; unauthorised voice recordings have been admitted as evidence in Employment Tribunal proceedings in a number of cases.
10. At the CIPN HR meeting on 19 October 2017, officers in the HR&OD Service presented the operational workforce leads from across Council directorates with a number of potential ways for addressing the issue, outlining the associated benefits and risks of each option. The full spectrum of options was considered; including one that would formally prohibit voice recording at any HR meetings and another that would require the Council to arrange for all such meetings to be recorded.
11. Workforce leads in the CIPN HR Subgroup reached consensus in recommending the adoption of a policy statement to allow officers to request permission to use recording devices to capture audio at formal [minuted] HR meetings.
12. The acceptance of a request for a meeting to be recorded can be done without any obligation on the part of the Council to use such devices to substitute or complement written minutes. However, the proposed Policy Statement includes a facility that would allow management to make a separate recording of a meeting.

13. In order for such a proposal to be implemented with due regard to the Council's commitment to restorative practice and the informal resolution of employment disputes, meeting chairs will be expected to accept such requests unless they believe that voice recording is likely to compromise the success of a meeting- e.g. when a compromise agreement is being discussed on a 'without prejudice' basis. Meeting chairs will be encouraged to obtain detailed HR advice if they require additional clarification.
14. At the People, Performance, and Development Committee meeting on 30 November 2017, Members expressed their preference for the introduction of an expectation on meeting chairs to capture voice recordings at meetings where they consider it appropriate and/or have accepted an employee request for audio recording. Officers in the HR&OD Service have amended the Policy Statement accordingly and reviewed the cost and risk implications relating to the adoption of the amended Statement.

Financial and value for money implications:

15. It is expected that the introduction of the proposed Policy Statement will not result in any discernible financial impact to the Authority, although there may be some minor savings in officer time through the avoidance of disputes on whether a meeting should be recorded.
16. In order for meeting chairs to be able to obtain reliable recordings at meetings, it would be appropriate for the Council to procure a number of voice recording devices (approximately 15 units) which officers within HR can make available to meeting chairs. Officers have identified two potentially suitable models. Unit costs appear to be in the range of £20, consequently this would result in an acquisition cost of £300. The devices have no maintenance requirements and they should have an economic life of at least 4-5 years.

Equality and Diversity implications:

17. The proposed Policy Statement is not expected to result in any changes to the way in which the Council manages equality and diversity in employment.

Risk Management implications:

18. The proposed Policy Statement is not expected to result in major changes to the Council's approach to risk management. However, officers in the HR&OD Service believe that it is likely to have some impact on organisational culture and indirectly reduce the risk of confrontation and friction in employment relationships through reinforcing the Council's commitment to its corporate value of 'Trust'.
19. Officers within the HR&OD have also identified an information governance risk as the Council will need to ensure recordings are managed in a way that is compliant with relevant legislation and Council policy. The latter risk can be managed through the involvement

of appropriate Council officers prior to the publication of the Policy Statement in order to design and/or authorise a process for the secure transmission of data from recording devices to the Council's information systems and devising storage guidelines.

Next Steps:

Involve officers in IMT and Information Governance to ensure appropriate processes are in place prior to the publication of the Policy Statement. Purchase recording equipment and assign to HR Advisory team. Publish the statement on s-net and arrange for the new policy to be disseminated to officers within HR and managers across the Council.

Report contact: Prodromos Mavridis, Senior HR Advisor – Policy and Engagement

Contact details: 020 85417891; prodromos.mavridis@surreycc.gov.uk

Annexes:

Annex 1 – Policy Statement on Meeting Notes and Audio Recording at Formal HR Meetings

Sources/background papers:

The proposed changes have been developed through consultation between officers within the Council's HR service, and extensive discussion with operational workforce leads within the Human Resources Subgroup of the Continuous Improvement and Performance Network of the Council. Legal Services officers have also been consulted in the development of the Policy Statement.

POLICY STATEMENT ON MEETING NOTES AND AUDIO RECORDING AT FORMAL HR MEETINGS

Surrey County Council is committed to fostering a culture of openness and transparency within its workforce, and seeks to resolve differences in employment in the most constructive and least formal manner possible. To that end, employees and managers have access to a comprehensive support network which has been designed to encourage open dialogue and restorative practice, in order to resolve differences and improve working relationships.

The Council recognises that there will be some cases which present the need for HR meetings or hearings to be conducted in a formal manner. When a formal meeting is organised, the Council will normally arrange for an impartial officer to take notes/minutes of the discussions. Employees participating in these meetings will be able to review the minutes before they are confirmed.

The Council accepts that there will be occasions on which a participant may want to use an audio recording device to accurately record discussions at a HR meeting. In the interests of maintaining a positive employment relations climate, any participants who intend to use such a device are required to request permission to do so from the meeting Chair. Such requests should be submitted with adequate notice before a meeting.

Meeting Chairs should not unreasonably refuse permission for a meeting to be recorded; however there may be instances in which they feel that the purpose or the success of the meeting may be undermined. Meeting Chairs should obtain detailed HR advice before making a decision to refuse permission for audio recording at a meeting.

Where a meeting Chair accepts a request from a participant who wishes to record the meeting, the participant will be welcome to bring their own recording equipment to the venue of the meeting. Where appropriate and practicable, the Council may choose to conduct an audio recording using its own equipment. Where that happens, recording devices will be made available by HR for meeting Chairs, and, wherever possible, a copy of the relevant storage media (e.g. SD card) will be offered to employees at the conclusion of the meeting.

It is important to note that the Council will accept no liability in respect of equipment failure or poor audio quality.

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People, Performance and Development Committee
29 January 2018

Human Resources & Organisational Development Strategy Measures 2017-2019

Purpose of the report:

This report is being brought to People, Performance and Development Committee for Members to comment on the data reporting for the Human Resources & Organisational Development (HR&OD) strategy 2017-2019 in accordance with section 2, para 6.13 of Surrey County Council's Scheme of Delegation.

Recommendations:

It is recommended that the People, Performance and Development Committee:

- i. review and comment on Surrey County Council's Human Resources & Organisational Development Strategy data reports developed so far; and
- ii. agree to receive six monthly reports to review progress against these data reports.

Introduction:

1. The Human Resources & Organisational Development (HR&OD) Strategy was presented to the People, Performance and Development Committee (PPDC) on 30 November 2017. The report outlined the measurement methods for the programme tracking and data reporting to monitor the effectiveness of the Strategy. It was agreed at that meeting, to bring these items back to 29 January 2018 meeting for PPDC to consider in more detail.
2. The refreshed HR&OD strategy sets out, at a high level, the strategic developments and service delivery for HR that will help to achieve our strategic aims. These aims will be evidenced by impact measures and measuring progress in strategic developments. The impact measures are being developed in such a way that they can be reviewed at service level

in real time to understand the impact across the organisation. A summary of the impact measures for each aim are as follows:

Strategic aim	Impact measures
<p>Sustain</p> <p>We recruit people with the right skills, at the right time, in the right place to deliver high quality and affordable services for our residents.</p>	<ul style="list-style-type: none"> • Vacancies being recruited to and first time fill rates • Number of Apprentices • Turnover rates
<p>Enable</p> <p>Our colleagues feel nurtured, valued and empowered to be innovative and effective.</p>	<ul style="list-style-type: none"> • Equality and diversity • 'Productive' workforce days • Sustainable absence • Workplace wellbeing • Health and Safety – reduction in accidents or incidents
<p>Achieve</p> <p>Colleagues are skilled, with access to the right resources and opportunities to grow and develop.</p>	<ul style="list-style-type: none"> • Performance Appraisals • Employees completing essential training • Leadership effectiveness
<p>Collaborate</p> <p>We show our values and team behaviours working with others</p>	<ul style="list-style-type: none"> • Internal & External appointments • Tenure • Employee Engagement

- Achieving this level of detailed scrutiny requires development of the data reporting which forms part of the work to improve workforce data management across the organisation. It is planned that the workforce data improvements will be delivered in the next three months in time for the new financial year and that the strategic impact measures can then be collected and monitored over time to review progress and impact in delivery of the HR strategy.

Background and engagement to shape the measures:

- The HR Leadership Team (HRLT) identified the measures initially, to provide a starting point. Officers are engaging with the Continuous Improvement Network, on a quarterly basis, to ensure these are right for services and the organisation.

The data reports (dashboard):

5. The 'dashboard' is a specially designed set of data charts and graphs, which draws pre-defined sets of data from SAP into presentable formats. HR and the Management Information Team (MIT) are liaising closely to design and refine the final product. This is an iterative and often cyclical process, which can take weeks or months to:
 - a) determine the data to be drawn from SAP, to meet the requirements of each measure;
 - b) craft each of the different charts into presentable formats, which tell us what they need to and are easy to understand;
 - c) test and sense check each chart for presentation and clarity and determine if the data drawn is correct. If not, start from a) again; and
 - d) provide commentary on what the data is saying.

Development is currently between stages a) and c).

6. Annex 1 provides the set of data reports included in the 'dashboard' that are in development. They are at various stages, as we continue to hone and improve the presentational formats and get the data focus right. Some are almost complete, whilst others are still under construction, for further exploration.
7. Annex 2 provides a breakdown of the data reports progress for each of the measures and what further development is required.

Conclusion:

8. The HR&OD measures were identified initially by HRLT. The dashboard reporting on these measures is in development and CIPN are engaged and monitoring progress quarterly, to ensure these work for their services and organisations.

Financial and value for money implications

9. These measures are provided within existing HR project and data operations resourcing and provide a necessary evidence to demonstrate improvements in health and productivity.

Equalities and Diversity Implications

10. These measures will further support the high level equality impact assessment, completed for the HR&OD Strategy 2017-19, as they evidence both health and productivity of our workforce.

Risk Management Implications

11. It may not be possible to achieve complete confidence in some of the data, in which case warnings will be provided detailing what the information is based on.

Next steps:

12. Officers will return to CIPN on 19 March 2018 with a recommended set of measures for services to use, to support workforce planning.
13. A report will be presented to the committee in six months, to apprise Members on progress of the key aims and measures.

Report contact: Ken Akers, Head of HR&OD

Contact details: Tel: 0208 541 8614, Email: ken.akers@surreycc.gov.uk

Annexes:

Annex 1 – Human Resources and Organisational Development Strategy 2017 – 2019 Health and Productivity Dashboard

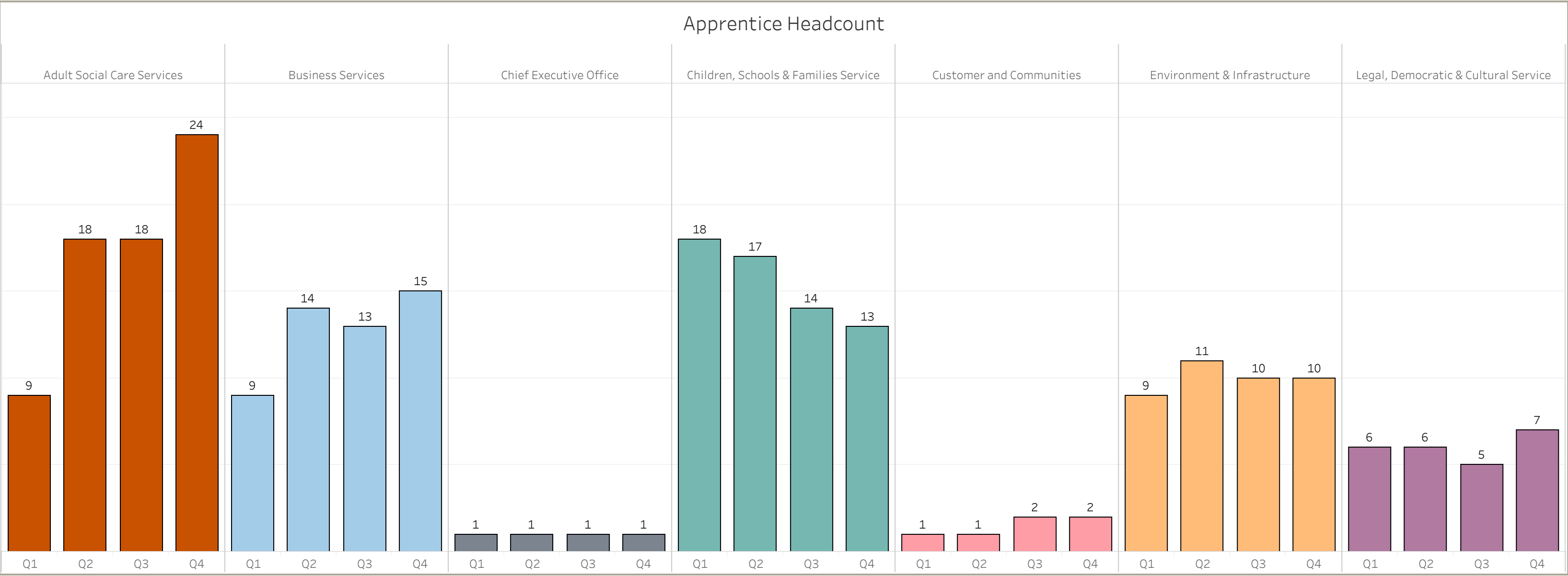
Annex 2 - Dashboard development – Progress of data reporting for each measure within the HR&OD Strategy 2017-19

**HUMAN RESOURCES &
ORGANISATIONAL
DEVELOPMENT
STRATEGY
2017 – 2019**

**Health and Productivity
Dashboard**

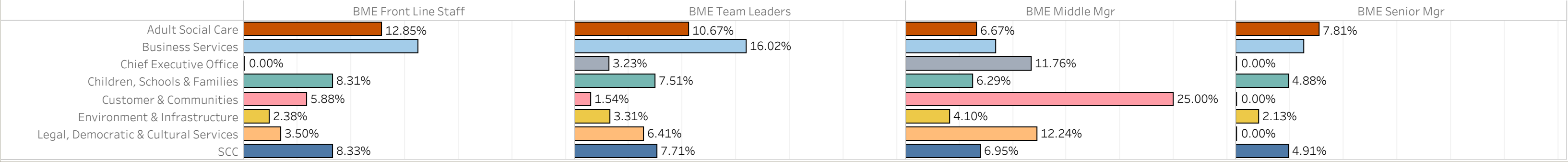


Sustain: Vacancies & Apprentice Rates

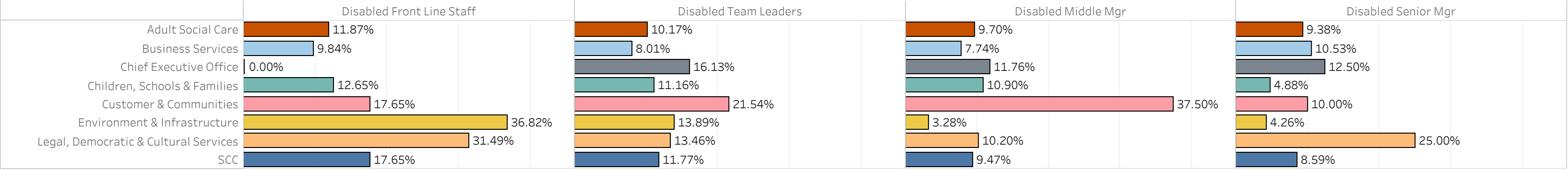


Enable: Equality and Diversity

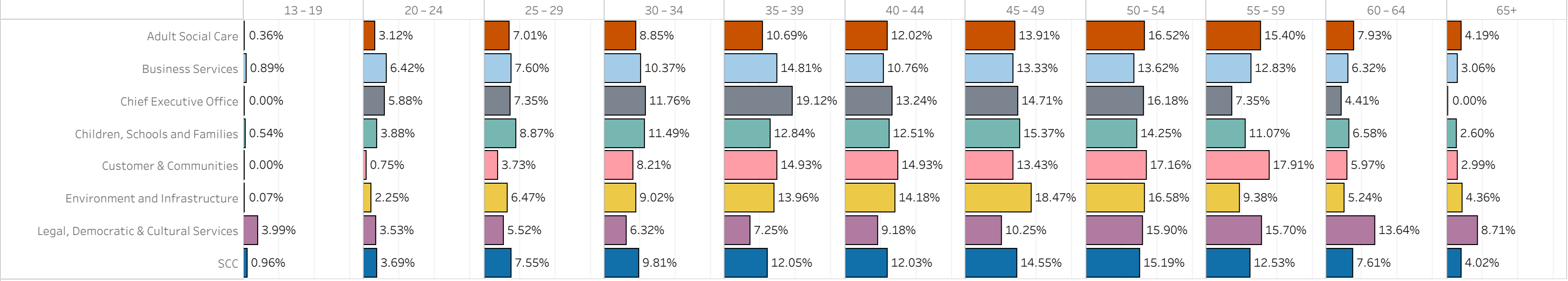
Black, Minority Ethnic Workforce Profile
End of Quarter 4 2016/17



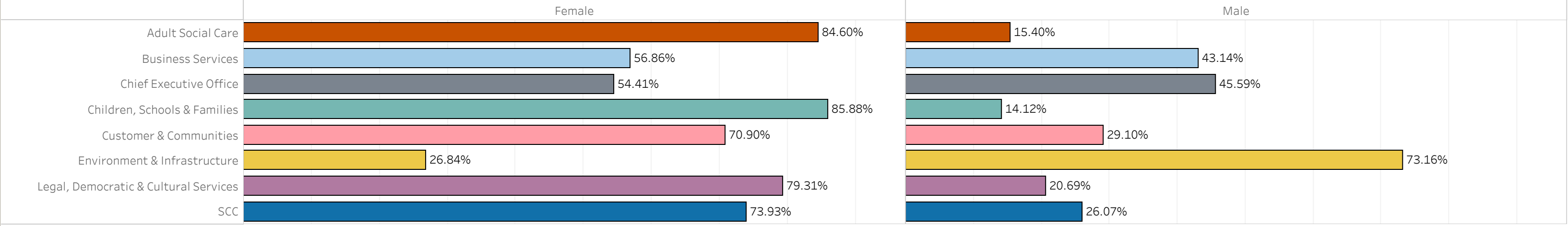
Disabled Workforce



Age Profile of Workforce



Gender Profile





Enable: Internal & External Appointment Rates

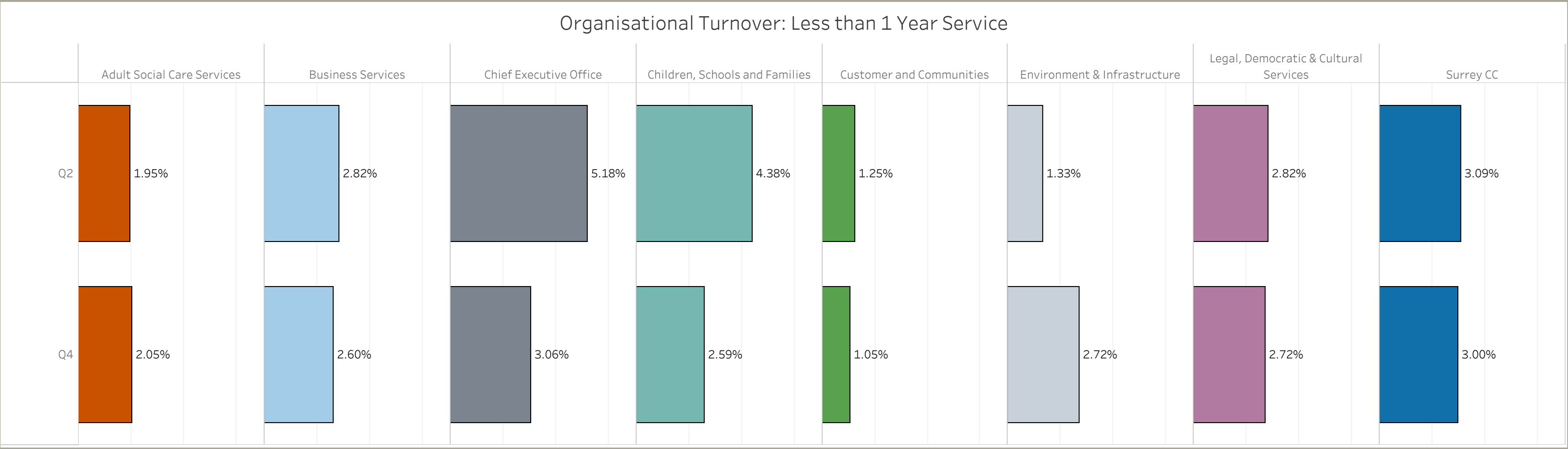
Under Construction

Internal Promotions

Under Construction

Enable: Organisational Turnover

Organisational Turnover: Less than 1 Year Service

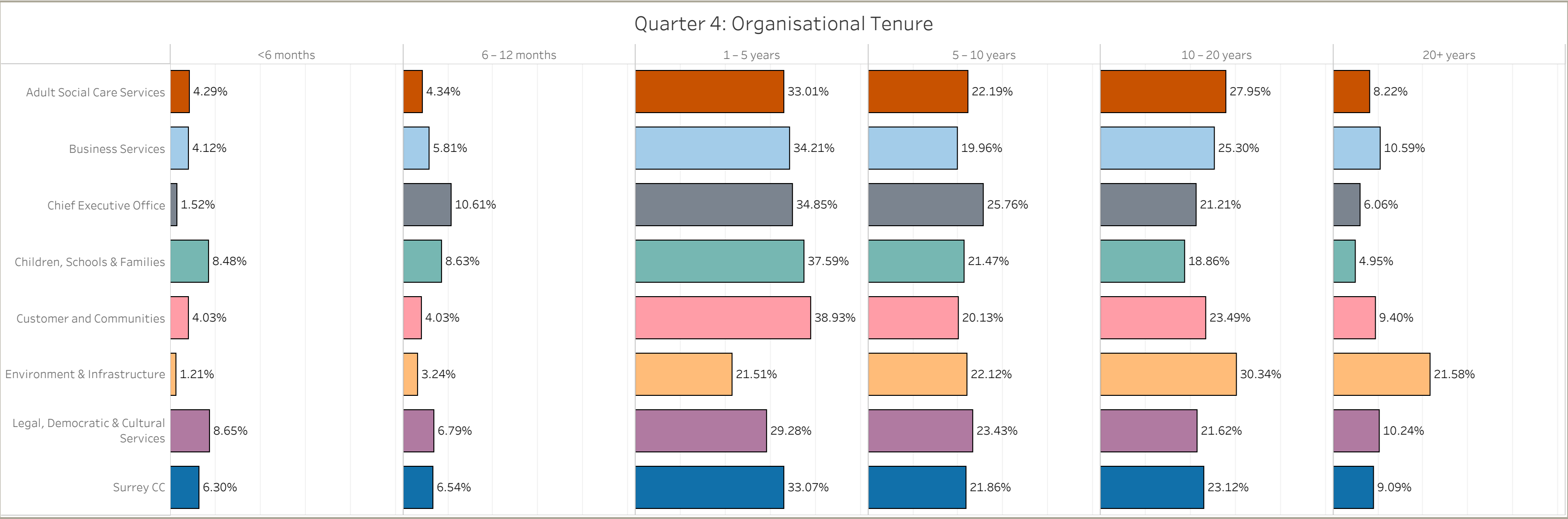
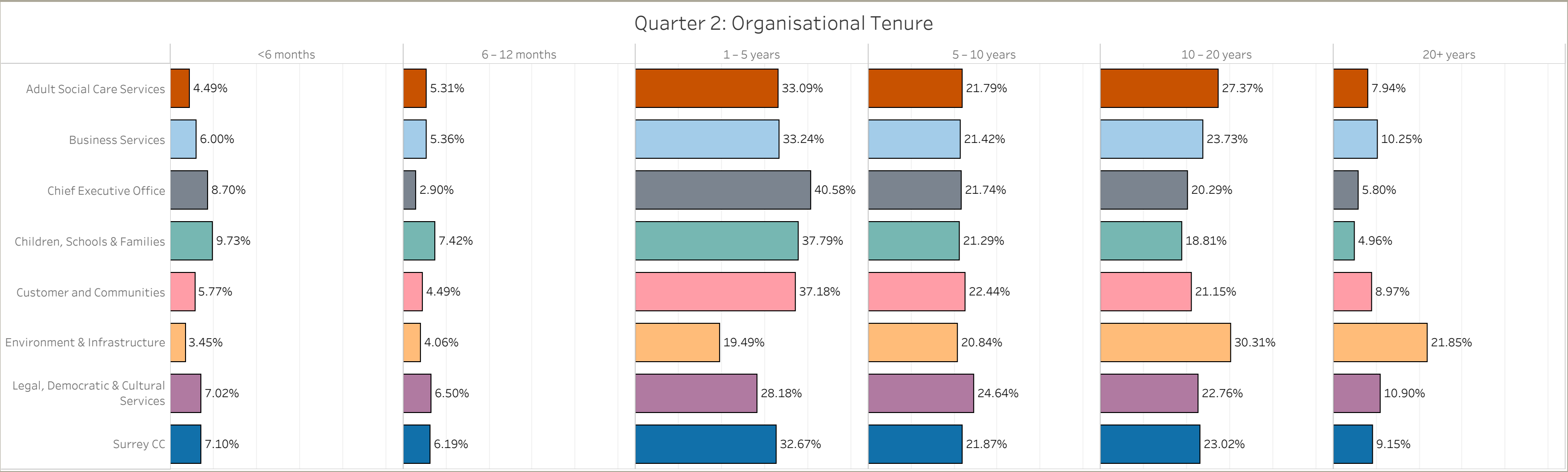


Organisational Turnover

Under Construction



Organisational Tenure



Enable: Productive workforce days

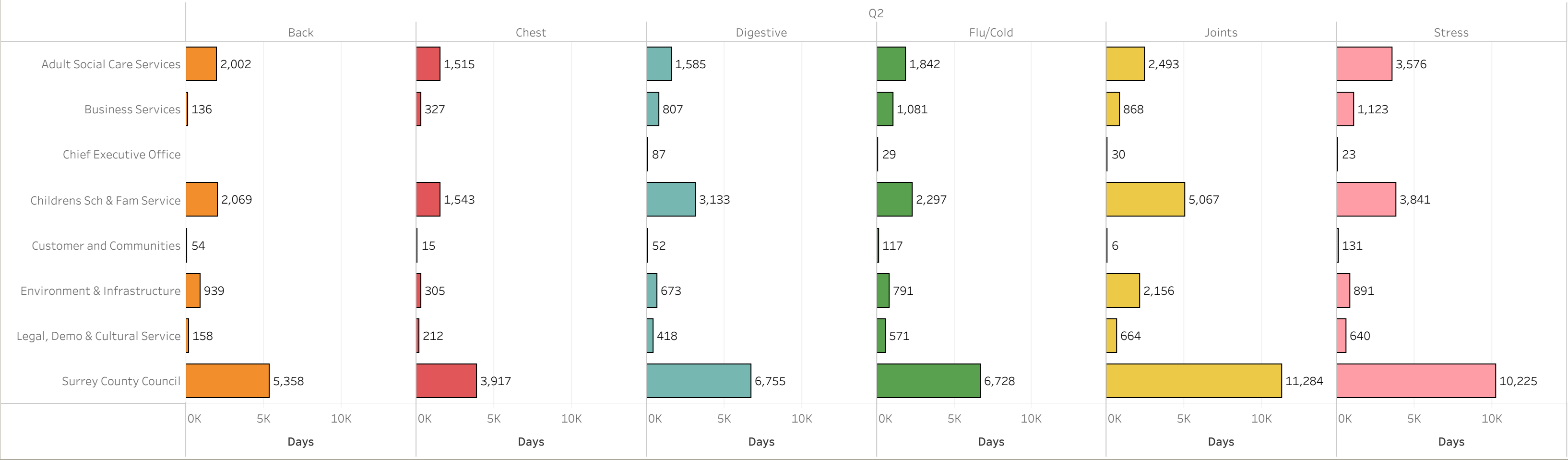
Under Construction



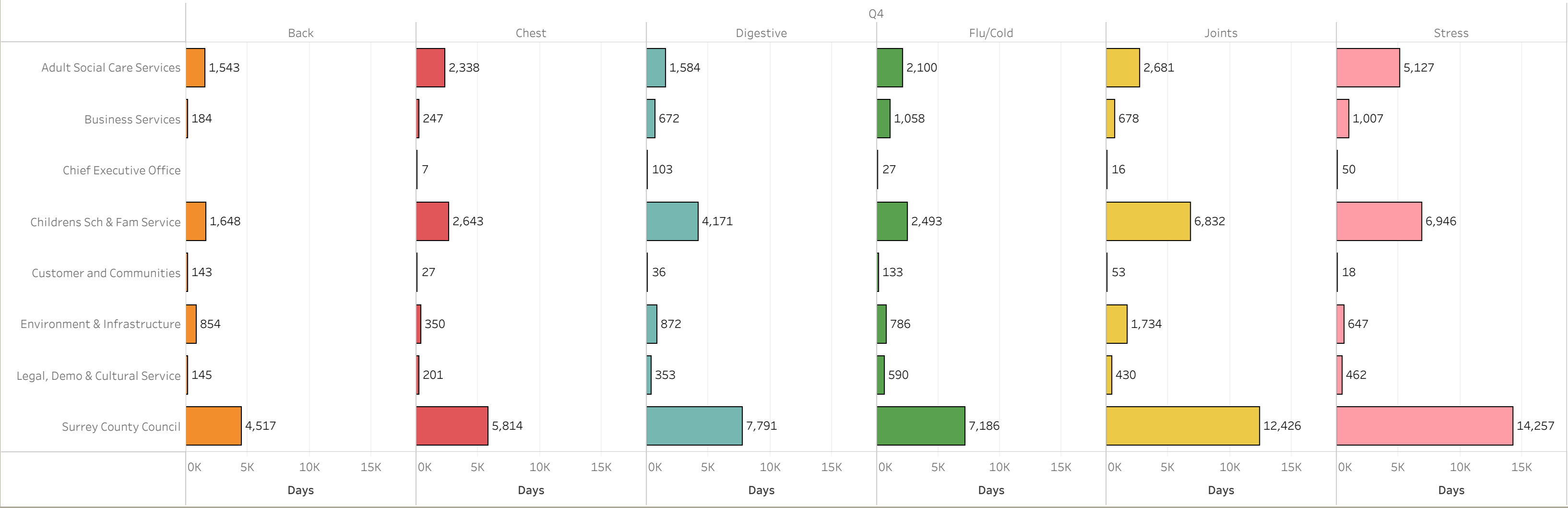


Enable: Sustainable absence

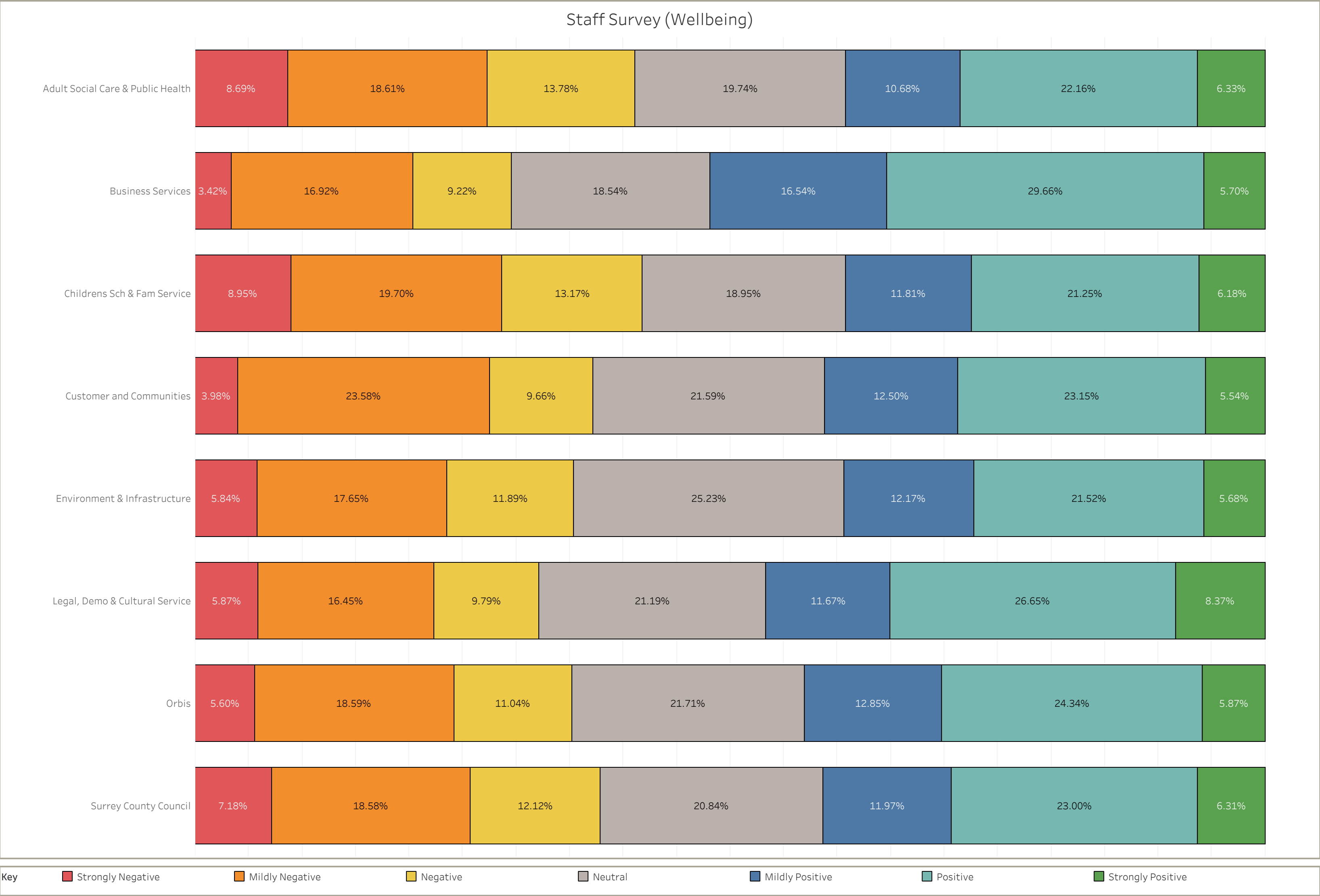
Total Sickness Absence Days: End of Quarter 2



Total Sickness Absence Days: End of Quarter 4

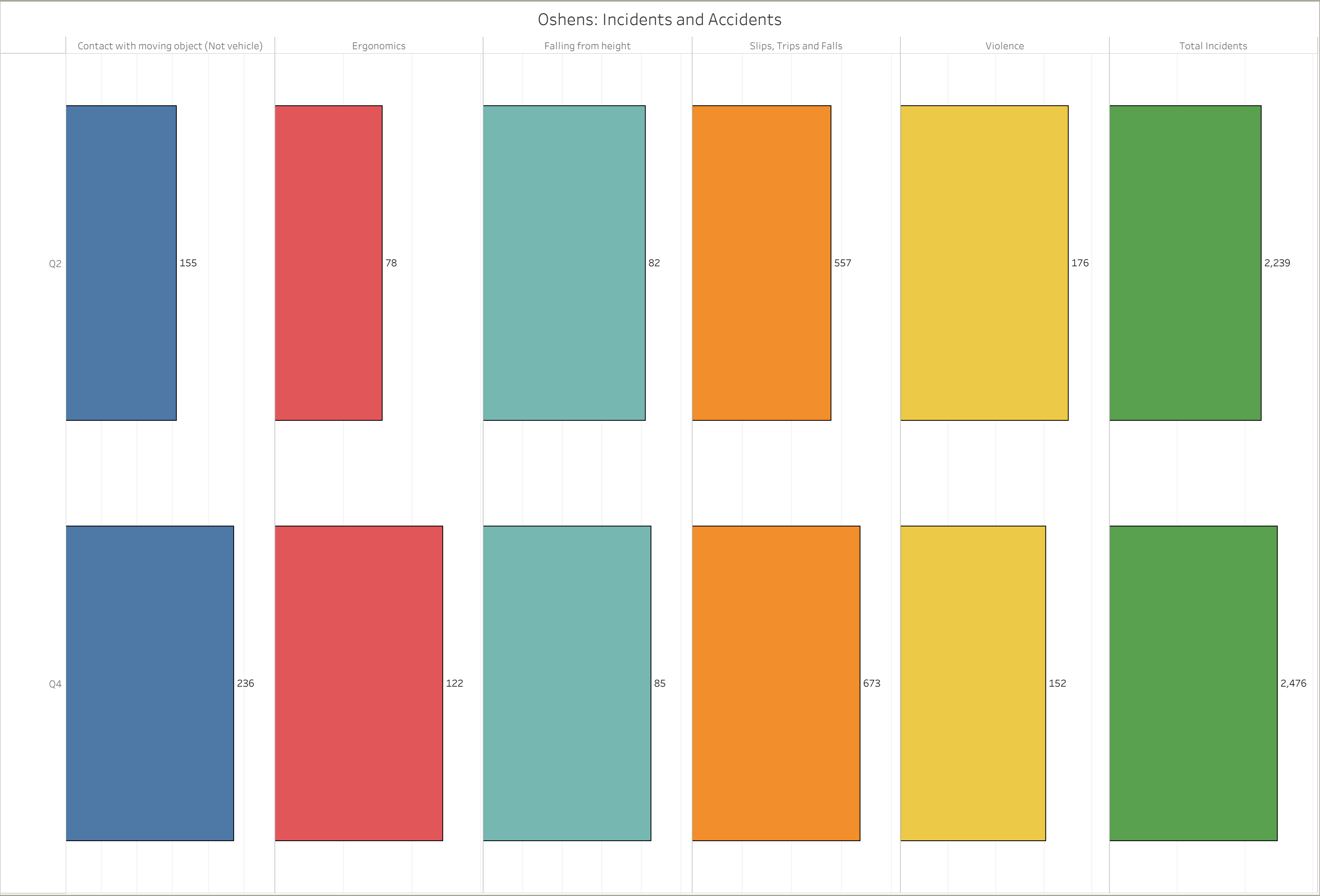


Enable: Workplace wellbeing





Enable: Health and Safety

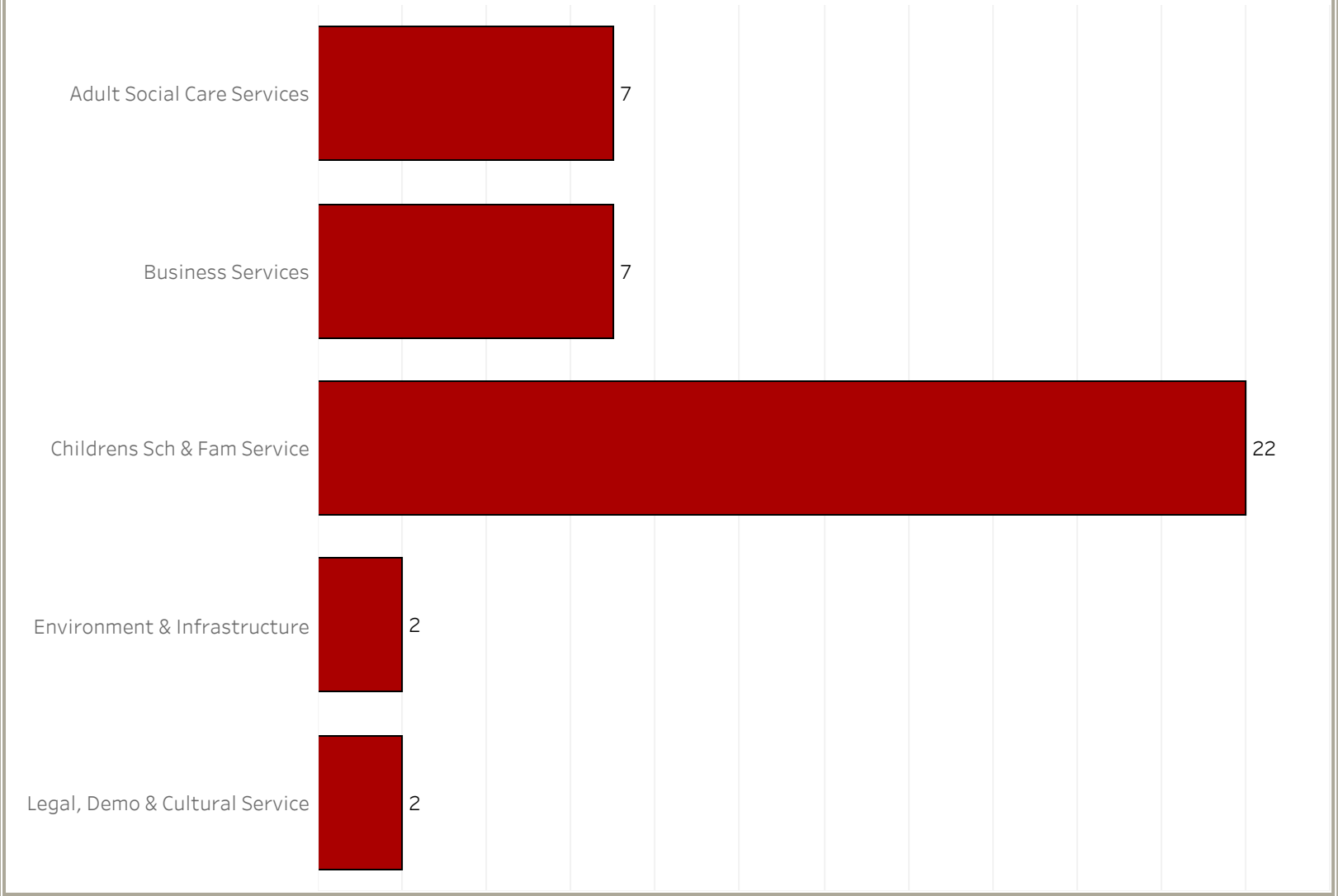


Achieve: Appraisal Scores

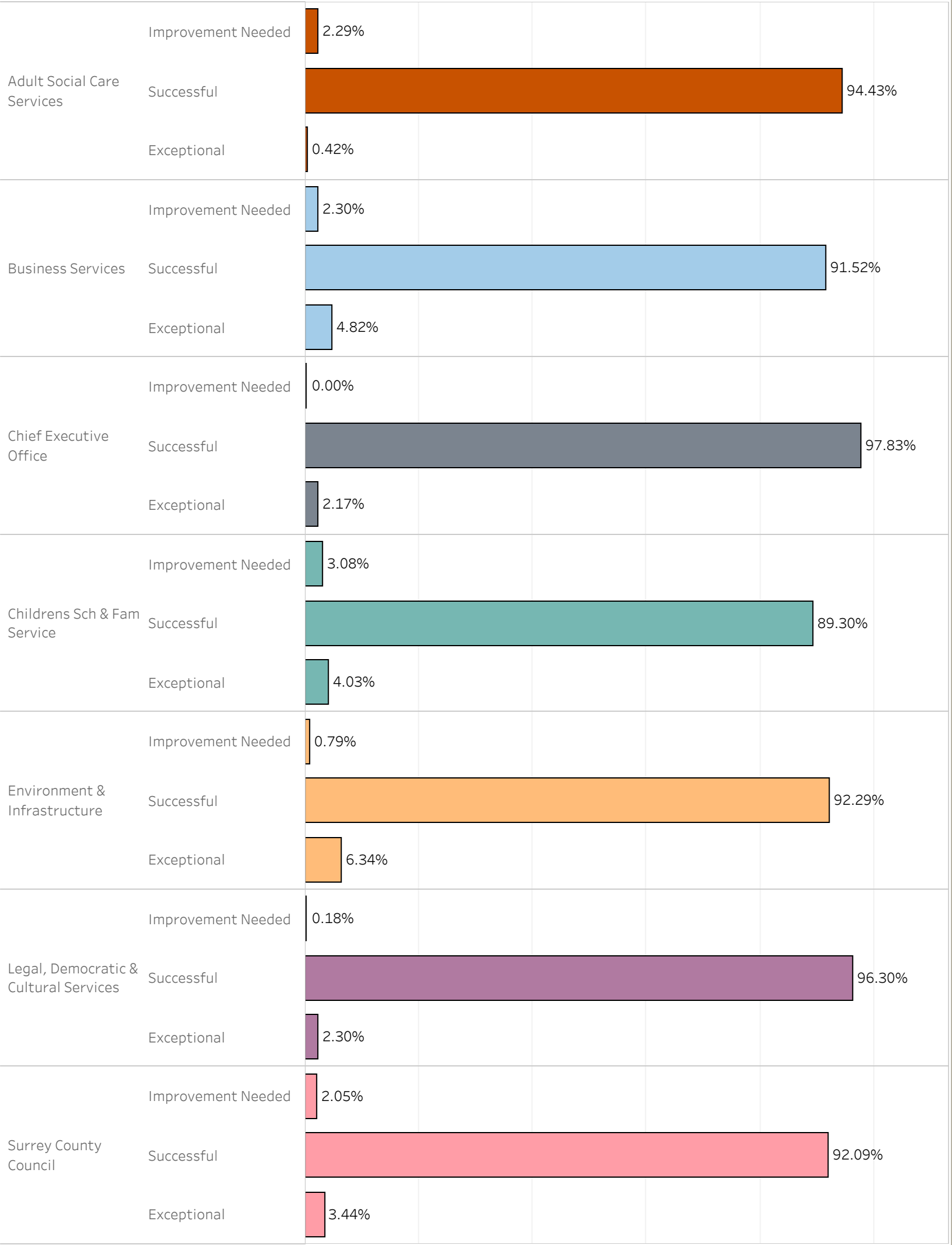
Employees completing essential training (16/17)

Under Construction

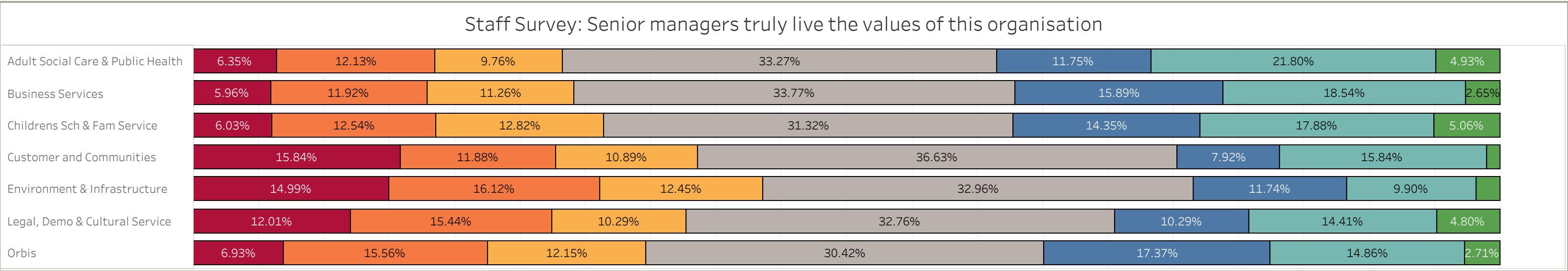
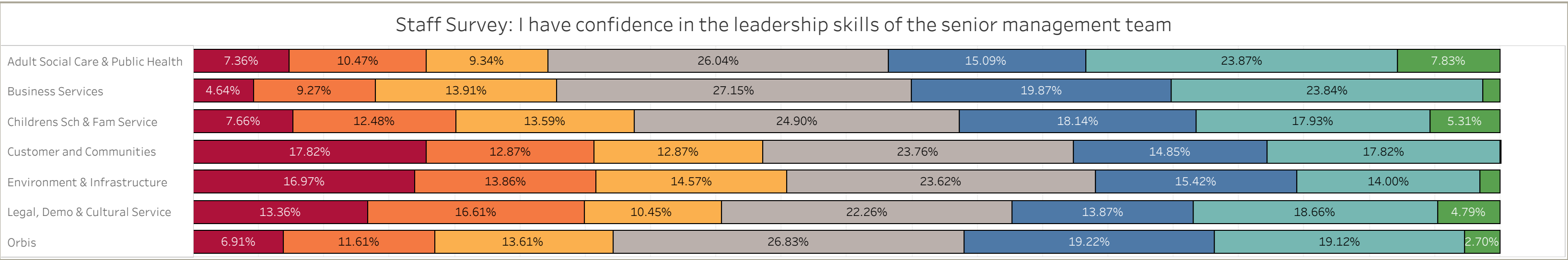
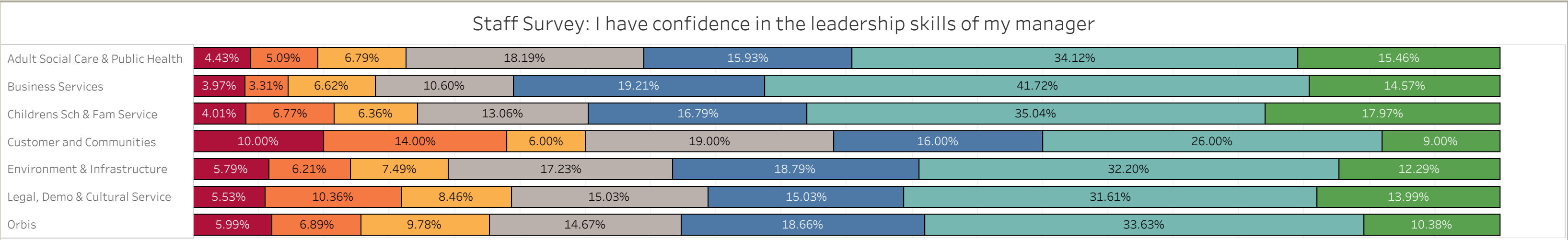
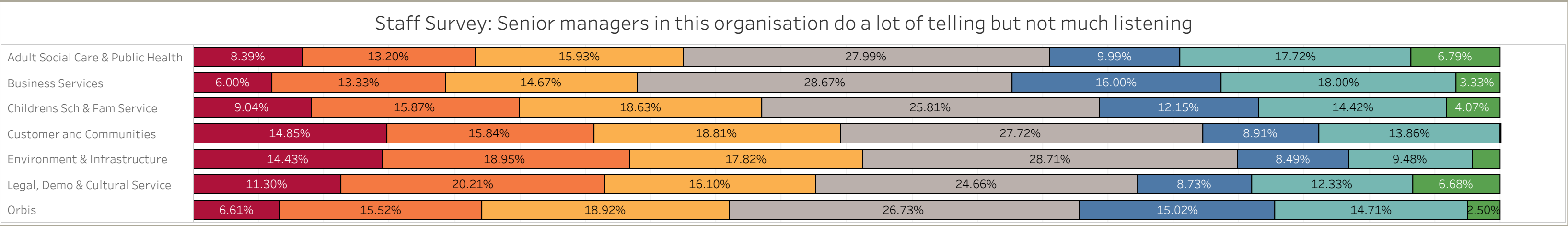
'Improvement Needed' Appraisal Rating for 2 Years



Appraisal Scores (16/17)



Achieve: Staff Survey (Leadership)



Key: Strongly Disagree Disagree Slightly Disagree Neither Agree nor Disagree Slightly Agree Agree Strongly Agree

Dashboard development – Progress of data reporting for each measure within the HR&OD Strategy 2017-19

Strategy Aim	Development area	What are we measuring?	To be added
Sustain	Vacancies and Apprentice Rates (page 2 of annex A)	Vacancy rates measure the number of positions without a post holder against the number of positions occupied in our establishment; how attractive we are as a prospective employer; how effective our recruitment and selection activities are.	We need to draw on reliable Organisational Management (OM) data, which requires a piece of work with services to validate their OM structures and reconcile these with their budgets.
		Apprentice rates measure the number of employees undertaking an apprenticeship and how close we are to meeting our target.	We need to add in quarterly and annual target figures, plus an additional column for the organisation as a whole.
	Organisational Turnover (page 4 of annex A)	Organisational turnover for employees with less than one year's service to inform how effective our selection and induction systems are. Organisation turnover is to compare our turnover against the Chartered Institute of Personnel and Development (CIPD), focusing on voluntary and involuntary leavers.	We need to be confident that the data for involuntary leavers is accurate. It relies on 'reason for leaving' code selected by the line manager.
Enable	Equality and Diversity (page 3 of annex A)	Workforce profiles for each characteristic to measure the improvement in the representation of our workforce as a reflection of Surrey's resident population.	We need to add in the Surrey resident profile for each category, to see how representative our workforce is.
	Productive workforce days (page 7 of	The number of days SCC's workforce is available to attend work taking into account unplanned absences	This data will be provided in a more digestible and presentable format.

Strategy Aim	Development area	What are we measuring?	To be added
	Annex 1)	and vacancies.	
	Sustainable absence (page 8 of Annex 1)	Sickness absence days measure levels of sickness to compare against the CIPD average of 8.5 days per year, and examining the top six reasons.	The average days per year for the council, with the CIPD comparator, will be included
	Workplace wellbeing (page 9 of Annex 1)	Workplace wellbeing (survey results) to measure the self assessed level that employees have rated their wellbeing, and to monitor our progress towards 'excellent', the highest level of the Wellbeing Workplace Charter.	A longitudinal comparator to be provided for previous years.
	Health and safety (page 10 of Annex 1)	Using the OSHENS incidents and accidents data it is possible to measure the reduction of numbers of incidents and accidents.	Targets to be added
t			
Achieve	Appraisal Scores (page 11 of Annex 1)	The proportion of employees who have completed the essential training identified for their role.	Testing needs to be completed on the Qualification Catalogue, in order to draw down data for reporting.
		'Improvement Needed' Appraisal rating for two years is to measure how effectively underperforming employees are supported and managed	Targets to be added
		Appraisal Scores (16/17) – are to measure how effectively employees are meeting their personal objectives.	Targets to be added
	Staff Survey	Leadership survey question ratings measure the	Targets to be added

Strategy Aim	Development area	What are we measuring?	To be added
	(Leadership) (page 12 of Annex 1)	effectiveness of our leaders.	
Collaborate	Internal and external appointment rates and promotions (page 4 of Annex 1)	Internal and external appointment rates measure the balance between appointments made from existing employees, including internal movement, and external candidates.	Consideration is being given to alternative measures for these areas.
	Tenure (page 6 of Annex 1)	Tenure measures the proportion of the workforce and their length of service, organised by directorate groups.	
	Employee engagement	Satisfaction survey ratings measure the increase of employee satisfaction, engagement and morale. JIVE/YAMMER media usage measures the amount colleagues are communicating with each other in this way.	

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People, Performance and Development Committee
29 January 2018

2017 Staff Survey Results

Purpose of the report:

This report provides the People, Performance and Development Committee with a summary of the results from the 2017 Staff Survey. This is the third Surrey County Council staff survey undertaken by Best Companies and includes helpful comparison data to the previous two years of engagement results.

Executive Summary:

1. In 2015, Best Companies was appointed by Surrey County Council (SCC) to administer a three year programme of annual employee surveys. Best Companies are recognised as being associated with 'The Sunday Times Best Companies' report and providing expertise in the areas of employee engagement and advocacy which was felt to fit well with the organisation's values and culture. The first survey was undertaken in October 2015 with the second and third surveys undertaken in October 2016 and 2017 respectively. This report summarises the key findings from this most recent survey.
2. 54% of employees responded to the survey in 2017, which is well above the average response rate for a similarly sized not-for-profit organisation and provides the best evidence we have of how staff are feeling. This also shows a year on year improvement in response rate.
3. The survey was made up of 70 questions or statements which employees were asked to rate on a scale from strongly agree to strongly disagree. These were then given a score and categorised against one of the eight factors of engagement (Leadership, My Company, My Manager, Personal Growth, My Team, Well Being, Fair Deal, Giving Something Back). Of these factors, SCC scored highest against My Team, My Company and My Manager and lowest against Leadership and Fair Deal. This profile is consistent with the previous two year's results.
4. The questions with the highest overall score have remained consistent for the third year. These are 'I believe I can make a valuable contribution to the future success of the organisation' and 'People in my team go out of their way to help me'.

5. The areas of focus in 2017 related to the team, management and My Company, with the following coming out as the key areas to address:
 - One Team: avoiding duplication of work; improving communication; understanding what we can achieve together.
 - Management: listening and accepting everyone's views; more contact with teams; timely decisions; open and honest communication.
 - My Company: Clear direction and goals; less uncertainty about the future; more proactive rather than reactive approach.
6. Best Companies are due to present the detailed findings from the 2017 survey to the Extended Leadership Team on 22 January. Following this, more detailed analysis will be available but it is anticipated at the time of writing this report that the areas of focus and key themes will remain consistent with those outlined in paragraph 5 above.
7. Members are asked to review the key findings in the report and the areas identified for further focus.

Recommendations:

It is recommended that the People, Performance and Development Committee is asked to note the results of the 2016 Surrey County Council Staff Survey.

Introduction:

8. In 2015, Best Companies was appointed by SCC to administer a three year programme of annual employee surveys. The final survey went live on 2 October 2017 and closed on 10 November 2017. During the period of the survey being open, reminders were sent to all staff who had not completed their email survey and the Extended Leadership Team took an active role in encouraging their teams to complete the survey through team meeting discussions, newsletters and email cascades.
9. The survey was made up of 70 questions or statements. The majority of these are categorised against one of the eight areas detailed below, with each area having between 4 – 12 questions or statements assigned to it. The remaining questions look at general feedback and don't contribute to the overall engagement score. In addition, all surveys include the option of providing free text to the following two questions: '*what makes this a great workplace?*' and '*what would make this a better workplace?*'.
10. All surveys included a unique code which identified the specified employee and allowed results to then be grouped according to the relevant details of the employee, such as team, job grade, contracted hours and length of service. The organisation is not able to identify individuals from the results but can analyse the data based on different demographics to identify trends.
11. The survey results are grouped into eight areas as follows:
 - i. **Leadership** – measures how staff feel about the head of their organisation, the senior management team and organisational values.

- ii. **My Company** – focuses on how much employees value their organisation, how proud they are to work there and whether they make a difference.
- iii. **My Manager** – measures whether staff feel supported, trusted and cared for by their immediate manager.
- iv. **Personal Growth** – examines whether employees feel challenged by their job, whether their skills are being utilised and there are perceived opportunities for advancement.
- v. **My Team** – includes encouraging team spirit, having fun and feelings of belonging within a group of direct colleagues.
- vi. **Well Being** – measures stress, pressure, the balance between work and home life as well as the impact of these factors on personal health and performance.
- vii. **Fair Deal** – includes how well employees feel they are treated and how their pay and benefits compare to similar organisations.
- viii. **Giving Something Back** – explores to what extent staff think their organisation is socially responsible and whether they believe this effort is driven by appropriate motives.

2017 Staff Survey Results:

Response Rate

- 12. The overall response rate for SCC was 54%, a significant increase on the last two year's rates of 34.46 and 48.94% respectively. According to Best Companies data, large (3,500+ employees) not-for-profit organisations have an average response rate of 40.44% and large private sector organisations 49.49%.
- 13. Two areas of the organisation have had particularly low response rates in previous years - commercial services catering staff (largely based in schools) and music tutors. Working with the services, it was agreed that a tailored survey would be more appropriate for these two groups and this was implemented this year. As a result of this alternative approach, the response rate for this cohort increased from 4% to 29%. The results from these surveys are outside of Best Companies data and therefore not included within this report but have been fed back to the relevant Heads of Service.
- 14. The response rate can be broken down by Directorate, as summarised in the following table, and by service (**Annex 1**).

Directorate	Headcount	Responses	Response Percentage
Adult Social Care & Public Health	1810	991	55%
Business Services	170	141	83%
Children, Schools and Families	3024	1387	46%
Environment & Infrastructure	654	431	66%
Environment & Infrastructure Trading Standards	104	62	60%

Environment & Infrastructure Fire & Rescue	645	258	39%
Legal, Democratic and Cultural Services	1066	606	57%
Orbis*	1964	1256	64%
SCC Total	9442	5137	54%

* Orbis includes staff from Surrey and East Sussex County Councils and Brighton & Hove City Council.

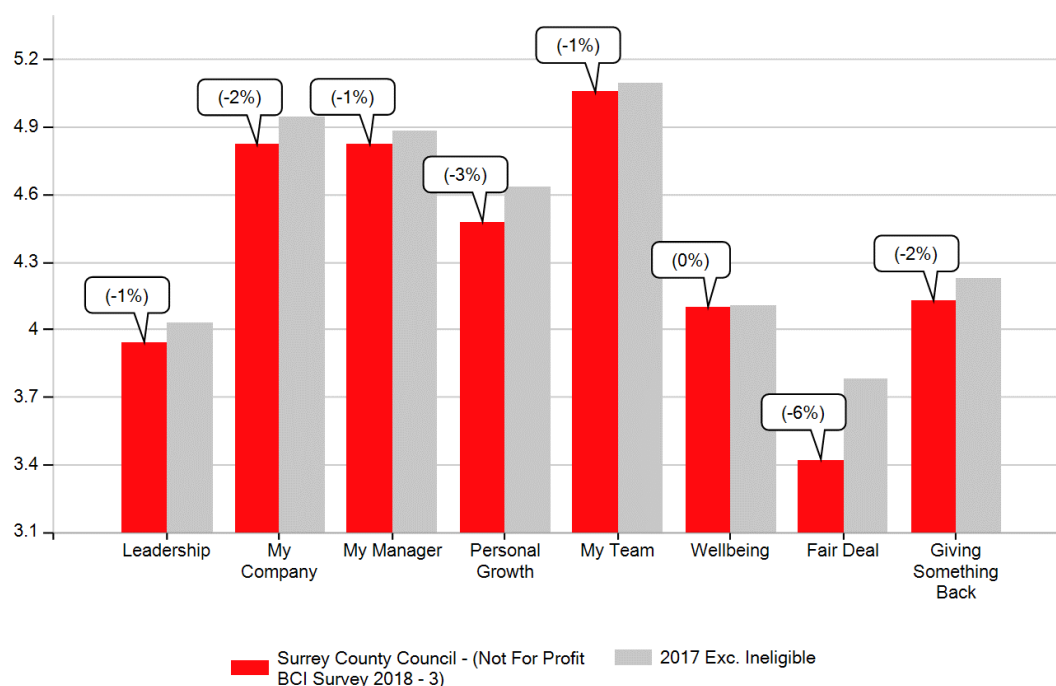
Findings

15. In answering the questions in the survey, staff were asked to rate each question on a scale from strongly disagree to strongly agree. These are then given a score by Best Companies on the following scale:

Strongly disagree	Disagree	Slightly Disagree	Neither agree nor disagree	Slightly Agree	Agree	Strongly Agree
1	2	3	4	5	6	7

16. Each of the eight factors then receives an 'average' score based on all responses to the questions or statements that relate to that factor. Graph 1 shows the distribution of scores against all factors, along with the comparisons to 2017.

Graph 1 – distribution of average scores against all eight factors areas for Surrey County Council (excluding Orbis Brighton & Hove and Orbis East Sussex).

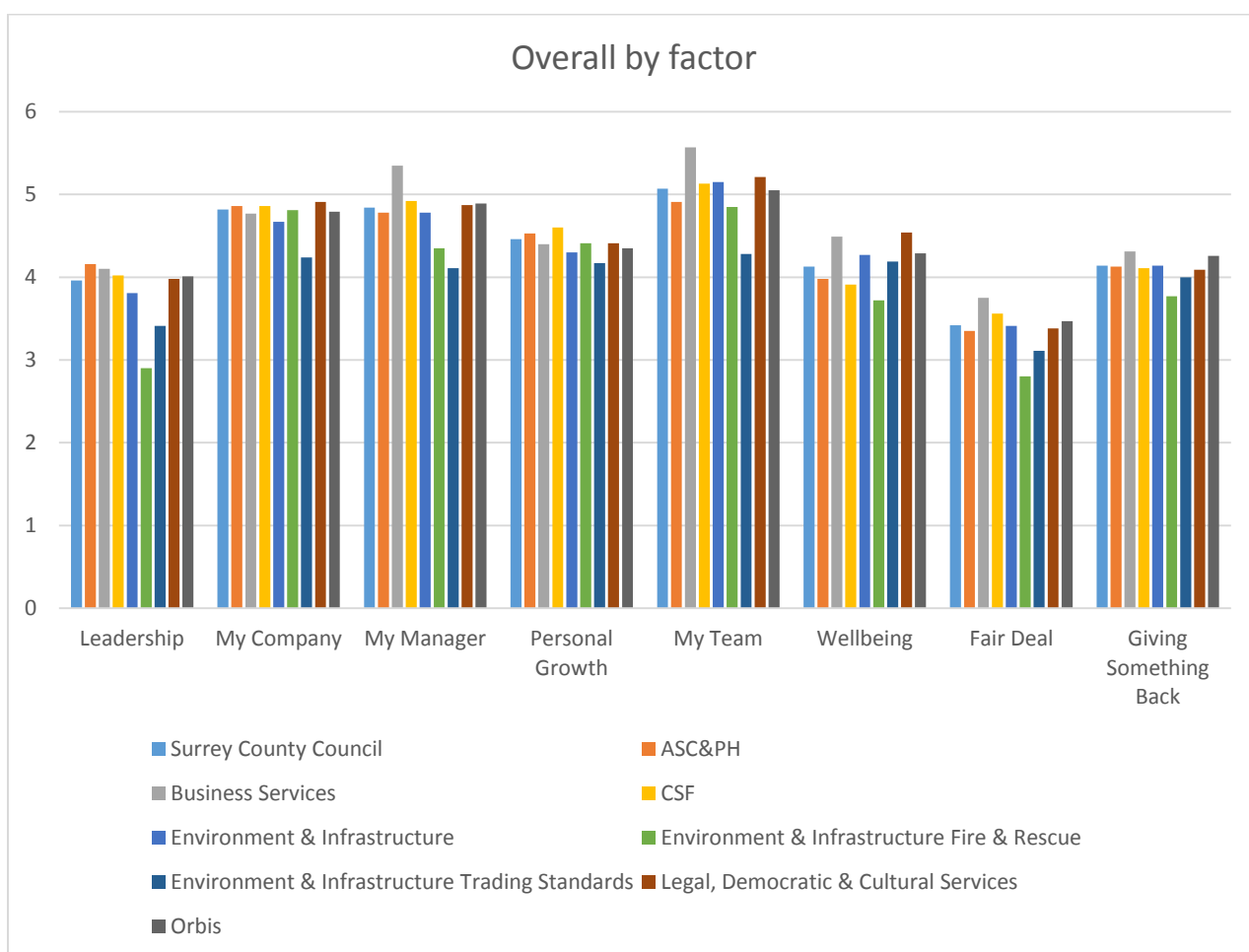


17. My Team, My Manager and My Company scored highest, with the three highest questions within the organisation falling within these factors. The following

three questions have been the highest scoring questions for the past three years and the change in results since last year is shown below.

- i) I believe I can make a valuable contribution to the success of this organisation (5.52 2017 / 5.62 2016 - My Company)
 - ii) People in my team go out of their way to help me (5.49 2017 / 5.54 2016 - My Team)
 - iii) My work is an important part of my life (5.44 2017 / 5.47 2016 - My Company)
18. Fair Deal and Leadership scores remain SCC's two lowest areas and the following questions scored the lowest overall within the organisation.
- a) Most days I feel exhausted when I come home from work (3.25 2017 / 3.2 2016– Wellbeing)
 - b) Profit / budget concerns are the only things driving this business (3.36 2017 / 3.54 2016 – Giving Something Back)
 - c) I am paid fairly for the work I do relative to people in similar positions in similar organisations (3.36 2017 / 3.72 2016 Fair Deal)
19. The three highest scoring questions are the same as last year although all three scores have marginally dropped. The lowest scoring questions are also similar although the Fair Deal statement 'I feel I receive fair pay for the responsibilities I have in my job' made it to fourth lowest scoring question this year rather than third place in last year's results. This statement was replaced by 'I am paid fairly for the work I do relative to people in similar people in similar organisations'.
20. The results this year show some interesting differences in how people are feeling when analysed by job grade. In particular, organisational clarity and leadership shows improved scores for Senior Managers and Directors (S13+) but a drop in scores for levels below S13.
21. Conversely, wellbeing results show that Senior Managers & Directors have reduced scores from last year and significantly lower in all questions when compared to the benchmark. However staff graded S12 and below show improved results for wellbeing areas when compared to last year and benchmarking results. As an example, 'I'm spending too much time working' results in different scores when looking at staff graded S12 and below (generally improved scores from last year and comparable to our benchmark) than when compared to Senior Managers (graded S13+) whose results have decreased since last year and are significantly lower than the benchmark.
22. The factors can also be compared at a Directorate level, as illustrated in graph 2.

Graph 2 – distribution of average scores against all factors by Directorate



23. From this graph it can be seen that Business Services show the highest levels of engagement across most areas.

Results by Service

24. A full breakdown of scores across all services is attached at Annex 1. This shows the scores for each factor, the response rate and the service's overall engagement score (out of 1000) which then translates onto Best Companies ranking – unclassified (0-599), One to Watch (600-659.5), 1Star (659.6-696.5), 2Star (696.6-738) and 3star (738+).
25. On the factors in Annex 1, a RAG rating has been applied to identify areas of strength (scoring above 5 – green) and potential areas of focus (scoring below 3.75 – red). From this data, services where there are two or more areas scoring below 3.75 include Surrey Fire & Rescue, Trading Standards, ASC Mental Health, E&I Emergency Management & Projects, Legal Services & Orbis Audit. All of these areas scored below 4 for Fair Deal and at least one other factor.
26. The highest overall single factor score by service was for New Models & Business Improvement who scored 6.36 for 'My Manager'. In addition, all eight factors within this service area scored above 4 indicating overall positivity for all areas of engagement within this team.

27. There are caveats with comparing services year on year due to changes in the structure. However, there are some notable increases including Cultural Services, New Models of Delivery & Business Improvement, Orbis Strategic Directorate, Orbis Procurement & Commissioning and Environment & Infrastructure – all of whom have achieved increases in 4 or more engagement factors. This year on year comparison can be seen in **Annex 2**.
28. Within the survey, individuals have the option to answer two free-text questions. These are 'What makes this a great workplace' and 'what would make this a better workplace'. Over 5,100 comments were recorded and this data is provided to Heads of Service to support with the interpretation of survey results. In addition, Best Companies will provide an analysis of the key themes from these comments by the end of January.

General Comment

29. The results from the Staff Survey are broadly similar to SCC's results in both 2017 and 2016 and, whilst overall results have dropped, the areas of strength and improvement remain consistent.
30. In particular, the Leadership results have gone down by 1% and is not unexpected given the timing of the survey coinciding with the Chief Executive's retirement and wider context the Council operates within. The confirmation of Joanna Killian joining the Council in March 2018 provides more clarity and an opportunity for the new leadership team to re-engage with staff on future priorities and direction for the organisation.
31. Results for Fair Deal increased in 2017 following the pay and reward consultation, however in 2018 the results dropped. This could be linked to the delay in agreeing the pay deal for this year which was anticipated to be in July 2017 but was actioned in October 2017. In addition, staff appear to be feeling the effects of austerity in their personal lives and a feeling that others are paid more for similar jobs. These factors coupled with an unrelenting need to cut costs whilst at work is having a clear effect on how individuals' perceive the fairness of their pay and reward.
32. A further decrease in results since last year is for Personal Growth. This factor looks at how individuals perceive the training and development and opportunities to develop their career within the Council. There has been significant change surrounding training and development over the past 12 months with the introduction of the Apprenticeship Levy which has replaced some established training, e.g. ILM and accredited courses. There is also a shift towards self-learning courses rather than classroom learning which is taking time to embed. The organisation remains committed to investing in staff and providing opportunities for individual to develop. One example is the new leadership development programme that launched in October 2018 and provides opportunities for current managers but also has a focus on developing future leaders through the 'Aspiring Leaders' programme.
33. The Council continues to see great strengths from results around the support people receive from their manager and also from their team more generally and it is reassuring to see this continue to be reflected into the third year.

Next Steps

34. The full survey results will be shared with Senior Managers from the week commencing 22 January. This will take the form of a presentation from Best Companies on Monday 22 January, full results being shared with managers

and the results being shared via the Council's intranet and through Jive on 24 January. There will be a Chief Executive weekly email on 24 January sharing the results of the survey and all services are encouraged to share the results from this date.

35. During February and March, services are encouraged to talk through the results and share through normal channels such as newsletters and meetings. The assigned workforce lead within each Directorate will work with the HR&OD lead to ensure a clear action plan is developed which allows focus on a small number of key areas of improvement. These improvement areas and actions are due to be confirmed by the beginning of March 2018.
36. This was the last year of the current contract to deliver the Staff Survey with Best Companies. Whilst the immediate focus is on ensuring services are actively responding to the recent survey results, work will also begin in parallel to review the options going forward, looking at best practice within the sector and also more widely in terms of alternative approaches to engagement. A further report will be shared with Members on the future approach as appropriate.

Conclusions:

37. This report details the key results of the 2017 Staff Survey and the resulting proposed areas of focus. Over half of the Council's employees responded providing a strong evidence base of how staff are feeling and, having completed the survey three times, an understanding of how the organisation is changing and evolving.
38. Using Best Companies provides the Council with a detailed understanding of engagement and allows benchmarking against other organisations. This year the overall results have dropped slightly but here are some areas within the Council where results have improved. For the reasons outlined in this report, there is evidence that the environment colleagues are working within and the challenges this produces continues to impact on their engagement.
39. In terms of looking ahead, there needs to be renewed focus on areas of Fair Deal, Leadership and Personal Growth. The Council also needs to remain focused on wellbeing – especially for Senior Managers. The Extended Leadership Team will begin working with services during February and March 2018 on actions to address concerns raised in the staff survey.

Financial and value for money implications

40. The Section 151 Officer confirms that there are no financial and value for money implications associated with this report.

Equalities and Diversity Implications

41. In engaging Best Companies to undertake the Staff Survey, SCC is using an experienced and established methodology which has been rigorously tested to ensure a fair and consistent approach which does not discriminate or differentiate against any known protected characteristics.

Next steps:

- 1) Directors and management teams have been provided with packs detailing their own results including comparisons with last year's results as well as

other teams and services. This will now be cascaded across the organisation, supported through the Chief Executive's weekly email and discussions with the Extended Leadership Team.

- 2) Individual teams will be encouraged to use the data to have conversations about the results and agree what area they most want to work on between April and September.
- 3) As this is the end of the three year contract with Best Companies, an options appraisal will be carried out and recommendations put forward on how best to engage staff going forward. This will be reported back to the Committee for a decision as necessary. .

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Annexes:

Annex 1 – Overall results by service 2018

Annex 2 – Comparison of results by service 2017 & 2018

Sources/background papers:

None

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Overall results by service 2018

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	Leadership	My Company	My Manager	Personal Growth	My Team	Wellbeing	Fairdeal	Giving Something Back	Response Rate	Engagement Score (if avail)	Best Companies ranking
Surrey County Council Overall	3.96	4.82	4.84	4.46	5.07	4.13	3.42	4.14	54%	595.1	
Adult Social Care & Pub Health	4.16	4.86	4.78	4.53	4.91	3.98	3.35	4.13	55%	590.1	
Business Services	4.1	4.77	5.35	4.4	5.57	4.49	3.75	4.31	83%	637.8	OTW
CEDR	6.15	6.19	6.13	6.08	6.01	4.51	5.55	4.92	100%	817.7	3Star
Childrens Sch & Fam Service	4.02	4.86	4.92	4.6	5.13	3.91	3.56	4.11	46%	600.3	OTW
E&I	3.81	4.67	4.78	4.3	5.15	4.28	3.41	4.14	66%	589.4	
SFRS	2.9	4.81	4.35	4.41	4.85	3.73	2.8	3.77	40%	530.6	
Trading Standards	3.41	4.24	4.11	4.17	4.28	4.19	3.11	4	60%	520.6	
Legal, Demo & Cultural Service	3.98	4.91	4.87	4.41	5.21	4.54	3.38	4.09	57%	608.5	OTW
Orbis	4.01	4.79	4.89	4.35	5.05	4.29	3.46	4.26	64%	600.1	OTW
Service Level Results:											
ASC Comms & Ops	4.08	4.77	4.67	4.44	4.95	3.89	3.27	4.09	69%	578.6	
Mental Health	3.89	4.81	4.99	4.67	4.93	3.65	3.35	3.92	42%	581.3	
Public Health	4.56	4.92	5.11	4.41	4.95	4.21	3.47	4.29	96%	615.1	OTW
Service Delivery	4.49	5.22	5.04	4.87	4.74	4.47	3.62	4.37	30%	634.1	OTW

Communications	3.85	4.39	5.09	3.99	5.47	4.18	3.46	4.36	97%	595	
Customer Services	4.2	4.9	5.35	4.48	5.53	4.48	3.78	4.27	78%	642.7	OTW
New Models and Bus Imp	4.8	5.2	6.1	5.29	6.36	5.17	4.4	4.83	100%	755.1	3Star
Strategy & Performance	3.8	4.58	5.53	4.4	5.76	4.85	3.85	4.29	86%	647.1	OTW
Childrens Services	4.04	4.97	4.85	4.78	5.03	3.83	3.5	4.15	35%	600.2	OTW
Commissioning & Prev	3.78	4.67	4.87	4.44	5.07	3.82	3.53	3.94	44%	579.2	
Schools & Learning	4.17	4.92	5.01	4.55	5.27	4.06	3.64	4.21	65%	615.4	OTW
E&I DLT, LO & Waste	4.19	4.96	5.06	4.74	5.28	4.54	4.14	4.32	83%	644.9	OTW
Emergency Management & Projects	3.26	4.04	4.39	4.42	5.02	4.58	3	3.74	100%	546.9	
Highways	3.81	4.67	4.78	4.27	5.15	4.25	3.38	4.14	64%	587.3	
F&R Mobilising	2.31	4.65	3.69	4.03	4.45	3.69	3.58	3.57	88%	491.6	
F&R On-Call	3.07	5.27	3.96	5.21	4.75	4.12	3.11	4.13	22%	571.5	
Support Staff	3.3	5.08	4.81	4.23	5.09	4.08	3.08	3.92	72%	573.2	
F&R Wholetime	2.83	4.71	4.34	4.39	4.84	3.59	2.62	3.7	38%	517.9	
Cultural Services	3.92	4.92	4.82	4.39	5.19	4.61	3.4	4.07	55%	607.3	OTW

Democrat ic Services	4.25	4.88	5.49	4.67	5.44	4.67	3.6	4.07	85%	646	OTW
Legal Services	4.14	4.7	4.78	4.36	5.05	3.6	2.68	4.31	55%	568.4	
Legal, Demo & Cultural Services Leadersh ip Team	5.21	5.49	4.82	4.86	5.9	4.16	3.79	4.6	64%	677.3	1Star
Orbis Audit	3.61	4.67	5.03	3.93	5.03	3.98	3.13	3.97	67%	565.4	
Orbis Business Ops	3.75	4.48	4.63	4.11	4.96	4.13	3.13	4.11	59%	561.8	
Orbis Finance	4.26	4.8	4.9	4.35	5.04	4.33	3.69	4.47	82%	613.6	OTW
Orbis HR & OD	4.23	4.9	5.15	4.52	5.23	4.41	3.59	4.27	63%	626	OTW
Orbis IT	3.8	4.69	4.71	4.23	4.84	4.15	3.51	4.11	60%	576.2	
Orbis Procure ment&C omm	4.45	5.14	5.26	5.06	5.52	4.4	3.6	4.66	76%	665.2	1Star
Orbis Property	3.94	4.91	4.89	4.32	5.04	4.42	3.3	4.27	59%	601.1	OTW
Orbis Strategic Directorate	4.91	6	6.12	5.58	6.05	4.79	5.25	4.76	82%	780.3	3Star

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Comparison of results by service 2017 & 2018

	Leadership	My Company	My Manager	Personal Growth	My Team	Wellbeing	Fairdeal	Giving Something Back
Surrey County Council Overall	-0.07	-0.12	-0.04	-0.16	-0.03	-0.01	-0.34	-0.09
Adult Social Care & Pub Health	-0.09	-0.16	-0.07	-0.28	-0.12	-0.03	-0.46	-0.11
Business Services	-0.13	-0.12	0.15	-0.05	0.26	0.02	-0.28	-0.14
Childrens Sch & Fam Service	-0.08	-0.2	-0.14	-0.18	-0.07	-0.08	-0.34	-0.12
Customer and Communities								
Environment & Infra	0.2	-0.13	0	-0.13	0.02	0.15	-0.18	0.08
Demo & Cultural Service	0.1	0.02	0.09	-0.01	0.17	0.18	-0.2	-0.05
Orbis	-0.1	-0.04	0.08	-0.1	0.04	0.07	-0.25	-0.07
Service Level Results:								
ASC Operations	-0.32	-0.56	-0.45	-0.53	-0.57	-0.17	-1.23	-0.23
Mental Health	0.18	-0.17	0.45	-0.19	-0.14	0.02	-0.36	-0.07
Public Health	-0.28	-0.28	-0.23	-0.6	-0.39	-0.16	-0.59	-0.33

Service Delivery	-0.07	-0.13	0	-0.18	-0.21	-0.22	-0.41	-0.07
Communications	-0.11	-0.17	-0.31	-0.36	0.04	-0.07	-0.23	-0.17
Customer Services	-0.02	-0.07	0.24	0.17	0.2	0.08	-0.24	-0.06
New Models and Bus Imp	0.33	0.25	0.59	0.24	-0.16	0.2	-0.07	0
Strategy & Performance	-0.56	-0.34	0.37	-0.28	0.65	0.19	-0.33	-0.28
Trading Standards	-0.2	-0.37	-0.19	-0.23	-0.43	-0.05	-0.43	-0.21
Community Partnerships	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison
Childrens Services	-0.09	-0.16	-0.24	-0.18	-0.17	-0.12	-0.44	-0.06
Commissioning & Prev	-0.29	-0.41	-0.19	-0.31	-0.03	-0.24	-0.41	-0.35
& Learning	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison
Sch & Learning (exc Commercial Services)	0.14	-0.07	-0.03	-0.1	-0.06	0.17	-0.24	0
Economy, T&P	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison	No comparison
Emergency Mgt & Projects	-0.69	-0.67	-0.34	-0.22	-0.52	0.3	-0.81	-0.43

Environ ment	No compari son	No compari son	No compari son	No compari son	No compari son	No compari son	No compari son	No compari son
Fire & Rescue	-0.18	0.04	-0.19	0.07	-0.15	-0.02	-0.36	-0.04
Highwa ys	-0.09	0	-0.1	-0.1	-0.05	-0.05	-0.27	-0.05
Cultural Services	0.12	0.07	0.13	0.04	0.16	0.19	-0.16	-0.01
Democr atic Services	0.06	-0.24	-0.2	-0.24	-0.1	-0.06	-0.7	-0.4
Legal Services	-0.25	-0.44	-0.15	-0.46	0.28	0.16	-0.49	-0.17
Orbis Busines s Ops	-0.28	-0.12	0.04	-0.14	0.05	0.01	-0.1	-0.1
Orbis Finance	0.03	-0.04	0	-0.08	-0.09	0	-0.4	-0.06
Orbis HR & OD	-0.16	-0.18	-0.14	-0.33	-0.15	-0.07	-0.6	-0.15
Orbis IT	-0.21	-0.1	-0.01	-0.15	-0.04	0.03	-0.29	-0.08
Orbis Procure ment& Comm	0.06	0.2	0.25	0.02	0.56	0.13	-0.34	-0.05
Orbis Propert y	-0.02	-0.02	0.18	-0.06	0.05	0.22	-0.18	-0.03
Orbis Strategi c Director ate	0.07	0.22	0.88	0.02	0.73	0.68	0.39	0.06

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