

26 June 2018

#### Dear Sir/Madam

A meeting of the Policy and Performance Committee will be held on Wednesday, 4 July 2018 in the New Council Chamber, Foster Avenue, Beeston, commencing at 7.00pm.

Should you require advice on declaring an interest in any item on the agenda, please contact the Monitoring Officer at your earliest convenience.

Yours faithfully

Chief Executive

To Councillors: S J Carr R I Jackson (Chair)

M J Crow (Vice Chair) E Kerry
S Easom G Marshall
D A Elliott J W McGrath
J C Goold P D Simpson

A Harper

#### <u>A G E N D A</u>

## 1. <u>APOLOGIES FOR ABSENCE</u>

## 2. DECLARATIONS OF INTEREST

Members are requested to declare the existence and nature of any disclosable pecuniary interest and/or other interest in any item on the agenda.

3. MINUTES PAGES 1 - 7

The Committee is asked to confirm as a correct record the minutes of the meeting held on 17 April 2018.

#### 4. REFERENCES

# 4.1 Local Joint Consultative Committee – 14 June 2018 <u>ALCOHOL AND DRUG MISUSE POLICY</u>

PAGE 8

The Joint Committee considered the amendments to the Alcohol and Drug Misue Policy. The amendments to the policy are intended to introduce a more robust policy to ensure the Health and Safety of its employees. Guidance had been produced for managers in order to provide further support and clarity in dealing with alcohol and drug misuse.

RECOMMENDED to the Policy and Performance Committee the revisions to the Alcohol and Drug Misuse Policy within the Conditions of Service for employees.

4.2 Local Joint Consultative Committee – 14 June 2018

AMENDMENTS TO CONTRACT OF EMPLOYMENT

**PAGES 9 - 12** 

The Joint Committee noted the amendments to the contract of employment. It was highlighted that the conditions of service had not changed. The contract of employment had been updated to include a statement on General Data Protection Regulations and Pay in Lieu of Notice.

RECOMMENDED to the Policy and Performance Committee the revisions to the Written Statement of Employment Particulars within the Conditions of Service for employees.

4.3 Local Joint Consultative Committee – 14 June 2018 <u>ATTENDANCE MANAGEMENT POLICY</u>

PAGE 13

The Joint Committee considered the amendments to Council's Attendance Management Policy. It was noted that attendance trigger points had been adjusted in line with wider, local government schemes. Additionally, the policy had been condensed to provide greater clarity and a more robust scheme for managers implementing the policy.

RECOMMENDED to the Policy and Performance Committee amendments to the Attendance Management Policy within the Conditions of Service for employees.

5. <u>FUTURE OF THE TOWN HALL, BEESTON – PROPOSALS SUBMITTED</u>

PAGES 14 - 17

To report to Committee the community proposals received for the Town Hall in Beeston and to recommend to Full Council accordingly.

6. <u>BEESTON TOWN CENTRE REDE</u>VELOPMENT

**PAGE 18** 

To update members on progress on The Square Phase 2 in Beeston.

## 7. <u>BUSINESS AND FINANCIAL PLANS</u> OUTTURN 2017/18

PAGES 19 - 80

To consider significant variances in the financial outturn against revised budgets for 2017/18 and progress against the Business Plans in respect of the Council's priority areas and key support functions.

## 8. <u>ANNUAL REVIEW OF THE CORPORATE PLAN</u> 2016-2020

PAGES 81 - 84

To invite councillors to consider whether any adjustment is required to the Corporate Plan priorities, objectives and targets in the light of the experience of the second year of implementation in 2017/18.

#### 9. CARE LEAVERS' COUNCIL TAX REDUCTION SCHEME PAGES 85 - 89

To request approval to implement a Council Tax Reduction Scheme to assist care leavers, as set out in the appendix.

# 10. <u>BROXTOWE LOTTO – DELEGATION OF AUTHORITY</u> PAGES 90 - 93 TO APPROVE GOOD CAUSES

To ask the Committee to recommend to Council that delegated authority be given to the Commercial Manager to approve 'good causes' which wish to participate in the Broxtowe Lotto.

## 11. <u>REVISION OF THE COUNCIL'S MAJOR</u> EMERGENCY PLAN

PAGE 94

To revise the existing Major Emergency Plan in order for the Council to respond effectively to a civil emergency.

# 12. REVISION OF THE COUNCILLORS' EMERGENCY PLAN

PAGE 95

To revise the Councillors' Emergency Plan so that councillors are aware of the Council's responsibilities under the Civil Contingencies Act and the role they can play before, during, and after an incident/emergency.

#### 13. REVISION OF THE HEALTH AND SAFETY POLICY PAGE 96

To revise the existing Health and Safety Policy – the umbrella document that all other Council safety policies and codes of practice are underpinned to.

#### 14. COMMUNICATIONS AND ENGAGEMENT STRATEGY PAGES 97

To seek approval for the Council's new Communications and Engagement Strategy 2018-2021.

# 15. <u>INDEPENDENT REVIEW OF RETIREMENT</u> LIVING SERVICE

PAGES 98 - 101

To seek Committee approval to implement the recommendation of Housing Committee to develop a new approach to delivering the Retirement Living Service.

## 16. STAPLEFORD COMMUNITY CENTRE

**PAGE 102** 

To provide an update on the current work towards creating a 'fit for purpose' community centre in Stapleford.

## 17. WORK PROGRAMME

**PAGE 103** 

To consider items for inclusion in the Work Programme for future meetings.

### 18. <u>EXCLUSION OF PUBLIC AND PRESS</u>

The Committee is asked to RESOLVE that, under Section 100A of the Local Government Act, 1972, the public and press be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 3 of Schedule 12A of the Act.

19. <u>FUTURE OF THE TOWN HALL, BEESTON –</u> PROPOSALS SUBMITTED APPENDIX

PAGES 104 - 107

20. <u>BEESTON TOWN CENTRE REDEVELOPMENT –</u>
APPENDIX

PAGES 108 - 109

## POLICY AND PERFORMANCE COMMITTEE

## 17 APRIL 2018

Present: Councillor R I Jackson, Chair

Councillors: S Easom

D A Elliott
J C Goold
A Harper
E Kerry
G Marshall

J K Marsters (substitute)

M Radulovic MBE P D Simpson

A W G A Stockwell (substitute)

Apologies for absence were received from Councillors S J Carr and M J Crow.

## 71. <u>DECLARATIONS OF INTEREST</u>

There were no declarations of interest.

## 72. MINUTES

The minutes of the meeting held on 21 November 2017 were confirmed and signed.

## 73. REFERENCES

## 73.1 Local Joint Consultative Committee – 8 March 2018 REDEPLOYMENT POLICY AND PROCEDURE

The Joint Committee had considered the revised Redeployment Policy and Procedure. It was noted that the revised onlicy had been condensed in order to provide greater clarity.

RESOLVED that the revisions to the Redeployment Policy and Procedure within the Conditions of Service for employees be approved.

# 73.2 Local Joint Consultative Committee – 8 March 2018 RECOGNITION OF TRADE UNIONS AND FACILITIES SUPPORT POLICY

The Joint Committee considered the revised Recognition of Trade Unions and Facilities Support Policy. The policy had been revised to reflect changes in government legislation in relation to the Trade Union Act 2016.

The Joint Committee requested that an amendment be made to the policy to provide greater clarity to the Council's existing Personal Relationships at Work Policy. A further amendment was proposed by Councillor G Marshall and seconded by Councillor D A Elliott that under the section on Communication and Good Relations there be an amendment to reflect that decisions be reached through joint agreement with the Human Resources Manager and senior trade union representatives unless in exceptional circumstances. The amendment was agreed.

RESOLVED that the replacement, within the Conditions of Service for employees, of the Time Off for Trade Union Duties and Facilities Support Policy by the new Recognition of Trade Unions and Facilities Support Policy be approved subject to the aforementioned amendment being made.

## 73.3 Local Joint Consultative Committee – 8 March 2018 JOB EVALUATION POLICY

The Joint Committee considered an amendment to the Policy and Procedures for Evaluation and Re-evaluation of Posts. It was proposed that the policy be updated with a single statement being added to section 3.8, Scarcity Rating. The proposed amendment reads as:

'In order to qualify for the scarcity rating the post in question must have been advertised on three consecutive occasions with no successful candidates or where we have been successful after three consecutive attempts but failed to retain a candidate for longer than 12 months.'

RESOLVED that the amendment to the Job Evaluation Policy be approved.

#### 74. EQUALITY AND DIVERSITY ANNUAL REPORT 2017/18

The annual review of activities and outcomes in respect of the Council's equality and diversity work was noted. Concerns were raised over the amount of potholes in the Borough's roads and the potential hazards for people with disabilities. The Leader was asked to raise the issue with Nottinghamshire County Council.

RESOLVED that the Equalities Objectives and Action Plan for 2018-20, contained in appendix 2 of the report, be approved.

#### 75. <u>BEESTON TOWN CENTRE REDEVELOPMENT</u>

The Committee was updated on progress of the redevelopment of Beeston Town Centre. It was stated that the public consultation which had taken place prior to planning permission being sought was more extensive than the amount of consultation that was necessary.

RESOLVED that no construction contract be let until such time that the conditions set out in the report had been secured.

## 76. REGULATION OF INVESTIGATORY POWERS ACT 2000

The Council had made no use of the RIPA powers since July 2015 due to the fact that the only use being made by the Council was in connection with investigations into benefit fraud, a function which had been transferred back to the Department of Works and Pensions. However, officers were required to undergo refresher training under the e-learning system to prepare for the possibility of the RIPA powers being used in a new area.

RESOLVED that the Policy and Guidance document be amended to name the Chief Executive as the Senior Responsible Officer.

### 77. PART 2 LOCAL PLAN – VIABILITY UPDATE

Viability work was undertaken two years ago and was commissioned via the Greater Nottingham Joint Planning Advisory Board. The work now needed to be refreshed to ensure viability evidence was up to date at the point that the Council's Part 2 Local Plan was submitted, which was due to take place after Jobs and Economy Committee meeting in June. Members were informed that two thirds of the costs were recoverable from the neighbouring councils.

RESOLVED that the normal procurement arrangements be set aside to allow Broxtowe to commission viability update work on our own behalf and on behalf of this Council's two neighbouring councils at a total cost of £30,000.

#### 78. FUTURE OF THE TOWN HALL BEESTON – EXPRESSIONS OF INTEREST

The Council had launched an invitation to submit expressions of interest on 7 March 2018. The process consisted of two stages; organisations successful at stage 1 would then be invited to submit a full business case. These would be considered by officers and a report with recommendations would be submitted to a future meeting of this Committee. Members noted the four expressions of interest that had been received in addition to a further one received following the deadline. It was agreed to accept the late submission.

There was discussion over the suitability of following the Council's Disposal of Land and Property Policy; however, members were assured that the correct procedures were being followed. During discussion on the evaluation criteria it was proposed by Councillor G Marshall and seconded by Councillor D A Elliott that the weighting for the commercial and community elements be equalised. The vote would be undertaken when financial issues were discussed later during the meeting following the vote on exemption. It was agreed that the recommendation be amended to reflect the consideration of non-commercial ventures before those submitted by commercial operations.

# 79. <u>REVIEW OF CORPORATE PLAN PROGRESS AND FINANCIAL PROGRESS</u>

The Committee noted a report which outlined progress against outcome targets linked to Corporate Plan priorities and received an update as to the latest financial performance as measured against the budget. The following comments and responses were amongst those included:

- It was a positive move for the Rent Recovery Manager to be located within the Housing Department due to the forthcoming changes relating to the introduction of Universal Credit.
- The former Co-op building in Stapleford was intimidating for residents and consideration was given to the serving of a Notice under Section 215 of the Town and Country Planning Act 1990. Members agreed to leave some flexibility to serve the Notice if meritorious.
- The Council had failed to meet its employee savings target although staff turnover had not reached the same levels as previously.
- Consultancy costs of the external investigation were queried and it was stated that no assumptions could currently be made on the matter.
- Figures on domestic abuse in the Borough had been supplied by Nottinghamshire Police and were simply reported by the Council. The matter would be taken up with the Police and Crime Commissioner.
- The use of agency staff being used for refuse collection would be kept under continuous review. A report would be submitted to a future committee to provide information on methods used to alleviate and difficulties.
- The future of land charges income would decrease as the government intended to transfer the service to a government agency, although the Council would have to provide a resource to interface between organisations.

#### **RESOLVED that:**

- 1. An Interim Procurement Officer and Interim Rents Recovery Officer be appointed.
- 2. The appropriate action be urgently taken to the former Co-op building in Stapleford.

## 80. CHANGES TO LOCAL GOVERNMENT ASSOCIATION

The Local Government Association (LGA) had contacted all local authorities regarding the new arrangements which would be introduced for the organisation from July 2018. As a means of keeping down membership costs, the LGA's General Assembly, the main decision-making body made up of councillors from its member councils, took a decision in July 2017 to create a new incorporated Local Government Association. This would enable the LGA to be more financially sustainable, invest more in the work it undertakes to support its members, in addition to keeping subscriptions as low as possible.

RESOLVED that the Council applies for admission as a Member Authority of the Local Government Association in accordance with the Association's Articles of Association.

#### 81. GRANT AID REQUEST

Members had previously discussed at Full Council an incident during which a local boy, Owen Jenkins drowned in 2017 in the River Trent, whilst saving some friends who had got into trouble having entered the water. This event has resulted in not just local water safety measures but initiatives throughout Nottinghamshire to improve water safety. Owen's family had set up a charity, called the OWEN network, which was now promoting open water safety amongst schools in Nottinghamshire.

The Committee considered recommending to the Finance and Resources Committee that the Council make a financial contribution towards a memorial for Owen Jenkins.

RECOMMENDED to the Finance and Resources Committee that £1,500 be committed from the grants budget in 2018/19 as a contribution towards a memorial for Owen Jenkins.

## 82. WORLD WAR 1 MEMORIAL CONTRIBUTION

In order to honour and commemorate all those who gave their lives for King and Country a project had been devised to create a new memorial to be located in the Memorial Gardens on Victoria Embankment, for the entire County and City with a definitive roll of honour listing the names of all those from the County and City who lost their lives fighting throughout the First World War. The names listed on the memorial would include those who died in the Chilwell shell filling factory disaster.

Funds had been committed by the City and County Councils while district councils were invited to commit £10,000 each. The remaining £30,000 would be raised through public subscription, from local businesses and military organisations.

It was stated that a link to the roll of honour be added to the Council's website in order to encourage the addition of personnel who were missing from the list of names before the information is committed to stone.

RECOMMENDED to the Finance and Resources Committee that £10,000 be committed to the Great War Memorial project funded from a carry-over of underspend from the 2017/18 grants budget.

## 83. WORK PROGRAMME

Members discussed the formation of a working group that would consider mental health issues in the Borough.

### **RESOLVED** that the Work Programme be approved.

## 84. <u>EXCLUSION OF PUBLIC AND PRESS</u>

RESOLVED that, under Section 100A of the Local Government Act, 1972, the public and press be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in paragraphs 1, 2 and 3 of Schedule 12A of the Act.

#### 85. MEDIATION SERVICE

RESOLVED that option 2 as included in the report be pursued.

# 86. <u>EMPLOYEE SAVINGS – GENERAL FUND REVENUE BUDGET 2018/19 UPDATE</u>

#### **RESOLVED that:**

- 1. The exercise of the use of the Chief Executive's urgency powers under the Constitution be noted to approve the voluntary redundancy of post F153, the voluntary redundancy of post L11, the voluntary redundancy of post H130b, the compulsory redundancy of C6 and the compulsory redundancy of post P71.
- 2. The voluntary redundancy application of post F143 and the voluntary redundancy of H109 effective at the end of June 2018 be approved.
- 3. Authority be delegated to the Chief Executive to accept the voluntary redundancy of post C72 provided the overall saving meets the voluntary redundancy policy requirement when pension strain costs are known and subject to the agreement of the post holder.
- 4. The deletion of vacant posts as follows:
  - F108b
  - F122
  - H21
  - T33
  - C93
  - T253 and T266
  - T411
  - T314
  - C69
  - L60

- 5. Authority be delegated to the Chief Executive to delete the following posts on the successful completion of the Administration review:
  - C50
  - P98
  - P66
  - F160
  - P22
- 6. The assignment of post C16 to HRA related duties, the reallocation of some of the Chief Executive's costs to the HRA, and the savings achieved through the current Monitoring Officer arrangements be noted.
- 7. The flexible retirement of P89 be approved and in the light of this agree not to delete the part time position C101 and agree not to delete an Economic Development post.

## 87. <u>EMPLOYMENT ISSUE</u>

Members noted the termination of the employment of post holder H140's employment contract.

#### 88. BEESTON TOWN CENTRE REDEVELOPMENT – APPENDIX 2

The appendix was noted.

# 89. <u>FUTURE OF THE TOWN HALL BEESTON – EXPRESSIONS OF INTEREST</u> – APPENDIX 2

During discussion on the evaluation criteria at item 9 on the agenda, minute number 78 refers, it was proposed by Councillor G Marshall and seconded by Councillor D A Elliott that the weighting for the commercial and community elements be equalised. On being put to the meeting, the amendment was defeated.

RESOLVED that the proposed assessment criteria given in appendix 1 of the report be approved.

## **Report of the HR Manager**

## ALCOHOL AND DRUG MISUSE POLICY

#### 1. Purpose of report

To consider amendments to the Alcohol and Drug Misuse policy within the Conditions of Service. A copy of the policy is circulated separately with this agenda.

#### 2. Detail

The proposed amendments are intended to introduce a more robust policy to ensure the Health and Safety of its employees and those affected by its activities. In addition, guidance for managers has been produced in order to provide further support and appropriate guidance when dealing with alcohol and drug misuse issues.

The proposed framework clearly outlines a robust procedure, reasons for testing and potential implications and will enable the Council to protect its employees, residents and reputation.

The amendments to the policy indicate a pro-active approach to alcohol and drug misuse demonstrating reasonable measures put in place by the Council to avoid incidents such as the bin lorry tragedy in Glasgow in 2014.

## Recommendation

The Local Joint Consultative Committee is asked to RECOMMEND to the Policy and Performance Committee the revisions to the Alcohol and Drug Misuse within the Conditions of Service for employees.

#### Background papers

Nil

## **Report of the HR Manager**

## AMENDMENTS TO CONTRACT OF EMPLOYMENT

#### 1. Purpose of report

To consider amendments to the Written Statement of Employment Particulars/Conditions of Service.

## 2. Detail

The Employee's contract of employment has been revised and reorganised. The main changes include the insertion of a Pay in Lieu of Notice (PILON) clause inline with recent legislative changes from 6 April 2018.

The order of the particulars has been changed to flow and is easier to understand.

A General Data Protection Regulations (GDPR) statement has also been included.

Space for bank details have been removed as this is now completed on a separate Payroll Information sheet.

A copy of the amended contract of employment has been included at the appendix.

## **Recommendation**

The Local Joint Consultative Committee is asked to RECOMMEND to the Policy and Performance Committee the revisions to the Written Statement of Employment Particulars within the Conditions of Service for employees.

## Background papers

Nil

## BROXTOWE BOROUGH COUNCIL WRITTEN STATEMENT OF EMPLOYMENT PARTICULARS

#### **APPOINTMENT:**

Name:	Department:	:
Post title:	Pay number:	

Date issued: Usual place of work/Base:

#### TERMS AND CONDITIONSOF EMPLOYMENT

This written statement sets out the terms under which you will be employed by Broxtowe Borough Council. Your terms and conditions of employment are subject to collective agreements negotiated with the trade unions recognised by this Council. Agreements reached nationally may be superseded by Local Agreements and the full scope of the relevant National and Local Agreements applicable to this Council are set out in the A-Z Policies available on the Council's intranet or from the HR Division.

#### **EMPLOYMENT DATES**

Your employment in this role starts from:

Your continuous service with Broxtowe Borough Council dates from:

Your local government continuous service dates from:

#### **PLACE OF WORK**

Your normal place of work is as stated above. However, from time to time and with appropriate notice, the Council may require you to work at any other Council location.

#### **HOURS OF WORK**

Your normal hours of work are \* per week.

A flexible working hours system is available as detailed in the Flexible Working Guidelines. There is no contractual right to flexible working hours as this depends on operational requirements.

Overtime provisions are specified in the Overtime and Additional Payments Policy.

#### RATE OF PAY

Your commencing annual salary is £\*, grade \*, SCP \* as per the Broxtowe Local Pay Scale (BLPS). You will be paid monthly on the 20<sup>th</sup> of each month into a bank or building society account of your choice.

Your next increment will be from \* and any further increments will be awarded on 1<sup>st</sup> April each year thereafter. All increments are subject to satisfactory performance of your duties and responsibilities. Increments may be withheld when an employee is suspended or subject to disciplinary/capability proceedings.

Whilst a new local pay scale has been adopted, the Council will maintain links to the national pay award for local government employees, which are revised annually on 1 April each year.

#### **FLEXIBLE DUTIES**:

There may be times when you may be required to undertake additional tasks, duties and responsibilities within your capabilities. The Council reserves the right to vary your tasks, duties and responsibilities at any time according to the needs of the Council's business. There may also be times when you may be asked to transfer, either temporarily or permanently, to an alternative job within the Council. Where this is agreed with you, either on a temporary or a permanent basis, it will be confirmed to you in writing. The Acting Up and Honoraria Policy may apply in certain cases.

#### **OTHER WORKING ARRANGEMENTS**

Include other requirements eg Car User Status, Evening Working, On Call, Political Activity etc.

#### LEAVE ENTITLEMENT

Your paid annual leave entitlement on the commencement of your employment is:

Your annual leave year commences on

Further information about leave entitlement is covered in the Leave Policy.

If you work part-time and a Bank Holiday falls on your working day you will be required to book the hours off your leave entitlement.

The Council will not make payment in lieu of any undertaken leave at the end of the year or on termination of employment. Individuals are expected to take responsibility for ensuring that leave is taken appropriately throughout the leave year in accordance with management agreement and service delivery requirements. However special arrangements apply in respect of termination following long-term sickness as detailed in the Leave Policy. If annual leave and bank holidays in excess of entitlement has been taken before leaving, payment will be recovered by deduction from final salary.

#### **PROBATIONARY SERVICE**

Your appointment is subject to a probationary period in accordance with the Probationary Policy.

#### **PERIOD OF NOTICE**

This contract may be terminated by \* months' notice in writing on either side except that your minimum entitlement to notice is extended by one week for each year of continuous service up to a maximum of 12 weeks.

In certain cases the Council may agree to you leaving without you working your full notice period and in this case you will be paid up to your last day of service.

However, If you leave without giving the proper period of notice or leave during your notice period without consent, you will not be paid for any unworked period of notice.

The Council reserves the right to make a payment in lieu of notice for all or any part of your notice period on the termination of your employment. This provision, which is at the Council's absolute discretion, applies whether notice to terminate the contract is given by you or by the Council and your contract can be terminated summarily at any time with immediate effect under the terms of this clause by notification of the termination of the contract being given to you in exercise of this clause. Any such payment will consist solely of basic salary (as at the date of termination) and shall be subject to such deductions of income tax and National Insurance contributions as the Council is required or authorised to make.

For the avoidance of doubt, the payment in lieu of notice shall not include any element relating to:

- a) any bonus or commission payments that might otherwise have been due during the period for which the payment in lieu is made
- b) any payment in respect of benefits which you would have been entitled to receive during the period for which the payment in lieu is made; and
- c) any payment in respect of any annual leave entitlement that would have accrued during the period for which the payment in lieu is made.

[The Council may pay any sums due under this clause in equal monthly instalments until the date end of the period for which the payment in lieu is made.]

You have no right to receive a payment in lieu of notice unless the Council exercises its discretion under this clause.

In addition, the payment in lieu of notice will not be payable, or can be recovered in full by the Council, if, following the termination of your employment, the Company subsequently discovers that you had committed an act of gross misconduct during your employment which would have entitled it to terminate your contract of employment without notice or payment in lieu of notice.

The Council reserves the right to terminate your employment without notice in cases of gross misconduct or gross negligence.

<u>ATTENDANCE MANAGEMENT POLICY</u> – If you are absent from work on account of illness you should ensure that you follow the instructions contained within the Council's Attendance Management Policy and that the appropriate officer is notified of the reason for your absence at the earliest possible moment.

<u>OCCUPATIONAL SICK PAY - The Council operates an Occupational Sick Pay scheme.</u> Employees are entitled to receive occupational sick pay for the following periods:

During first year of service (continuous local government), one month's full pay and (after completing four months' service), two months' half pay.

During second year of service, two months' full pay and two months' half pay.

During third year of service, four months' full pay and four months' half pay.

During fourth and fifth year of service, five months' full pay and five months' half pay.

After five years' service, six months' full pay and six months' half pay.

You may not be entitled to Occupational Sick Pay if you fail to comply with the employee's responsibilities under the Attendance Management Policy.

<u>PENSION</u> – You will automatically be enrolled into the Local Government Pension scheme from the first day of employment.

<u>TRADE UNION MEMBERSHIP</u> – The Council accepts the right of employees to choose whether they wish to belong to a Trade Union. However the Council does recommend to employees that they join the appropriate Trade Union because it believes that fully representative Trade Unions are important for good industrial relations. The Council recognises Unison and Unite the Union for purposes of joint negotiation and consultation.

<u>GRIEVANCE PROCEDURE</u> – The Council has an agreed grievance procedure contained within the Conditions of Service. If you wish to raise a matter relating to your employment under the procedure you should apply in the first instance to you immediate supervisor.

<u>DISCIPLINARY PROCEDURE</u> – The Council has an agreed disciplinary procedure contained within the Conditions of Service in respect of matters of discipline, dismissals and rights of appeal. The Council also has an agreed Code of Conduct.

<u>WHISTLEBLOWING POLICY</u> – The Council operates a Whistleblowing Policy contained which addresses circumstances that arise when employees have concerns about what is happening at work.

<u>GDPR STATEMENT</u> - As your employer, Broxtowe Borough Council needs to keep and process information about you for normal employment purposes. The information we hold and process will be used for our management and administrative use only. We will keep and use it to enable us to run the council and manage our relationship with you effectively, lawfully and appropriately, during the recruitment process, whilst you are working for us, at the time when your employment ends and after you have left.

This includes using information to enable us to comply with the employment contract, to comply with any legal requirements, pursue the legitimate interests of the council and protect our legal position in the event of legal proceedings. We process personal data relating to those we employ to work as, or are otherwise engaged to work as, part of the workforce. We do this for employment purposes, to assist in the running of the authority and/or to enable individuals to be paid. All processing and storage of personal data complies with the General Data Protection Regulation and any other associated legislation.

We will not share information about you with third parties without your consent unless the law allows or requires us to.

#### **ACKNOWLEDGMENT:**

I acknowledge receipt of this statement and I	confirm that I agree to be bound by the terms and conditions of the
Council.	•
Signed:	Date:
Print name:	

## **Report of the HR Manager**

## ATTENDANCE MANAGEMENT POLICY

#### 1. Purpose of report

To consider amendments to the Council's Attendance Management Policy. A copy of the policy is circulated separately with this agenda.

## 2. Detail

The policy has been edited to be shorter, more readable and easier to implement.

Short-term (less than 28 calendar days) and Long-term (more than 28 calendar days) will be managed differently. Attendance Management meetings for short-term absences will be held following the employee's return to work rather than during their absence. Long-term absences will be managed in such a way that each individual case will be dealt with in accordance with their likelihood of recovery following occupational health medical information. This will ensure that longer-term absences are dealt with in a more robust manner where there is no likelihood of recovery or return to work.

Trigger points have been adjusted in line with wider, local government schemes and intended to be implemented fairer across all employees.

For example, a trigger point has been amended from "more than 10 consecutive working days" to "10 or more working days (separate or continuous)". In practice, this means that previously, an employee hit triggers if they had four separate instances of one day's sickness but did not if they had three separate instances of four days. This amendment now ensures that all employees are treated fairly in relation to sickness triggers.

The policy clearly outlines the roles and responsibilities of each individual involved in the process and the expectations on both sides.

## Recommendation

The Local Joint Consultative Committee is asked to RECOMMEND to the Policy and Performance Committee amendments to the Attendance Management Policy to the Conditions of Service for employees.

#### Background papers

Nil

## **Report of the Interim Deputy Chief Executive**

# FUTURE OF THE TOWN HALL, BEESTON - PROPOSALS SUBMITTED

## 1. Purpose of the report

To report to Committee the community proposals received for the Town Hall in Beeston and to recommend accordingly.

## 2. Background

Members will recall the reports and meetings of 3 October 2017, 6 February and 17 April 2018 relating to the future of the Town Hall in Beeston. In April Committee resolved to invite four community groups to submit more detailed proposals for the future of the Town Hall and to use a framework approved by Committee to help assess those proposals.

A summary of the scoring framework is given in appendix 1, along with the legal framework.

Members will also be aware that an application by the Beeston & District Civic Society to have the Town Hall listed was unsuccessful. More recently an application by the same group to have the Town Hall listed as an asset of community value was also unsuccessful.

#### 3. Proposals submitted

The Council launched an invitation to submit detailed proposals on 18 April 2018 and the closing date was 15 June 2018. One church subsequently declared it was no longer interested, and the student co-operative was not able to meet the deadline despite being given a modest time extension. The exempt appendix 2 contains further details and recommendations, but the two bids received were as follows:

- A proposed CIO (Charitable Incorporated Organisation) based on a number of Beeston-based community groups.
- A Beeston-based church "plant" from a major church elsewhere in Nottingham.

## 4. Financial implications

These are given in appendix 2, which is exempt due its commercial sensitivity.

## Recommendation

The Committee is asked to CONSIDER the proposals received and the recommendations in appendix 2 and to RESOLVE accordingly.

Background papers – 2 x bids received

#### **APPENDIX 1**

## Summary of the scoring framework

(the full version was presented to Committee in April 2018)

Element	Weighting
Commercial (purchase price / rent)	35
Robustness of organisation	10
Financial standing	15
Proposed use – specific reference to retention of building or	15
features, public access, contribution to vibrancy and vitality of	
town centre, strengthen community.	
Business case	20
Statement of community benefit	5
TOTAL	100%

## How we will score commercial element of applications (35%):

We will score rent or purchase offers using the following formula:

# Your bid Highest alternative bid

#### NOTE:

- Rental bids that are not straight line (i.e. they are stepped or similar) will be averaged over the first 5 years.
- If the highest alternative bid is less than the target figures set out in this ITT, then the latter will be used.

#### **EXAMPLES**:

- If your bid is a rent of £35,000 per annum and the highest alternative is £55,000, you will score 0.636 (35,000/55,000)
- If you offer £250,000 to buy the property and the highest alternative is £500,000, you will score 0.5 (250,000/500,000)

How we will score the quality element of applications (65%):

Score	Requirements to attain Score
0	Completely unsatisfactory/unacceptable response  No response to the question or serious deficiencies in meeting the required standards. The risk to the Council is very high.
1	Poor response The proposals provide only limited evidence that the specified requirements will be met and / or demonstrate significant omissions and / or demonstrate only a limited level of quality. The risk to the Council is high.
2	Acceptable response in most areas The response is compliant in most areas, but in some areas falls short of the required standards. The proposals provide evidence that reasonable quality will be met where detailed, but with some material omissions. The risk to the Council is medium.
3	Good response The response is compliant and meets the contract standards. The proposals provide evidence that the specified requirements will be met, with no more than minor omissions and where any concerns are only of a minor nature, and demonstrate reasonable quality. The risk to the Council is low.
4	Outstanding response The response is fully compliant, with no omissions, and clearly indicates a full understanding of the contract. The proposals provide strong evidence that all of the specified requirements will be consistently delivered to a high level of quality. The risk to the Council is very low.

### Legal Requirements when selling an Asset

(Fuller details were given in the Council's Land Disposals policy approved by this Committee on 21 November 2017.)

#### Section 123 - Local Government Act 1972

In general, the Council is required to achieve the 'best consideration reasonably obtainable' when it is disposing of land and properties.

#### **General Consent**

If a Council seeks to dispose of land or buildings at less than the market value it has to obtain the consent of the Secretary of State for Communities and Local Government. However, the Secretary of State has issued a number of 'general consents' i.e. a set of conditions which, if they apply to a particular transfer, means that the Council does not need to obtain specific permission to transfer at an 'undervalue'. However, the undervalue itself still needs to comply with 'normal and prudent commercial practices, including obtaining the view of a professionally qualified valuer'.

The most important of these consents is the General Disposal Consent 2003 ('the General Consent' – Circular 06/2003) which permits the Council to dispose of land at less than its market value, without the need to seek specific permission from the Secretary of State, provided that:

- (a) The purpose for which the land is to be transferred is likely to contribute to the 'promotion or improvement' of the economic, social or environmental well-being of the area; and
- (b) The difference between the market value of the land and the actual price paid for the disposal (if any) is not more than £2,000,000.

### Commentary

The Town Hall has been independently valued by two external chartered surveyors and both valued it at significantly less than £2,000,000.

Because there is no prospect of the difference between offer price and market value exceeding £2,000,000 then Secretary of State consent for a sale or disposal at less than market value would *not* be required. This *would* allow the Council to consider a lower offer *if* it deemed it contributed sufficiently to the promotion or improvement of the economic, social or environmental well-being of the area.

## Report of the Interim Deputy Chief Executive

## BEESTON TOWN CENTRE REDEVELOPMENT

#### 1. Purpose of report

To update members on progress on The Square Phase 2 in Beeston.

## 2. Background

Committee will recall that the Council has agreed to act directly as developer for a cinema and food and beverage development at the top end of the site, with a residential development at the bottom end of the site, linked by public realm.

## 3. <u>Key updates</u> (further details are given in the exempt appendix)

- A planning application was submitted at the end of May.
- It is hoped this will be determined in the autumn.
- Work is underway on preparing the information pack for marketing and sale of the residential element of the site (subject to planning).
- Negotiations with prospective operators/occupiers continue.
- 'Beeston on Sands' will return to the site during the school summer holidays.

As part of the final preparation of the planning application, a further opportunity was given for the public to express their views on the design. A total of 183 people responded. A majority (57%) of those responding to the design welcomed the modern and imposing design, whilst a significant minority (43%) felt the design was too modern and imposing. Parking concerns were raised by 10% of overall respondents, a desire for more open space was raised by 9% of respondents, and a desire for the inclusion of public toilets was raised by 5% of respondents.

It is still recommended that no construction contract is let until such time as the following have been secured:

- Cinema conditional agreement for lease.
- Rent payable under the above (plus any other forward lease commitments) sufficient to cover estimated interest payable on the project capital borrowing.
- Planning permission for leisure element.
- Legally-binding sale agreement for residential site.

## 4. Financial implications

These were outlined to the April 2018 meeting of Committee.

#### Recommendation

The Committee is asked to NOTE this report and its exempt appendix.

#### Background papers

Nil

Joint report of the Chief Executive, the Interim Deputy Chief Executive and the Interim Strategic Director

## **BUSINESS AND FINANCIAL PLANS – OUTTURN 2017/18**

## 1. Purpose of report

To consider progress against the Business Plans in respect of the Council's priority areas and key support functions and to consider significant variances in the financial outturn against revised budgets for 2017/18.

#### 2. Background

Detailed business and financial plans linked to the five Corporate Plan priority areas of Housing; Business Growth; Environment; Health; and Community Safety and the support service areas of Resources; Revenues, Benefits and Customer Services; and ICT and Business Transformation were approved by the respective Committees in early 2017 as part of the budget setting process.

## 3. Performance Management

As part of the Council's performance management framework and to meet the commitment to closely align financial and performance management, the Business Plans for the priority areas are considered alongside detailed revenue budget estimates, the capital programme and other financial information. The relevant Committees receive regular reports during the year which review progress against their respective Business Plans. This outturn report provides an overview of progress made towards Corporate Plan priorities and the latest data relating to Critical Success Indicators (CSI), identified as a means by which outcomes relating to priorities and objectives can be measured. This summary is at appendix 1.

#### 4. Financial Outturn

A summary of the year-end financial position, together with variations against the budget, is provided in appendices 2A to 2H (one for each corporate priority area and the support services). In overall terms there is a net underspending/additional income of £2,158,870 on the General Fund and a net overspend/reduction in income of £283,950 on the Housing Revenue Account compared to the revised estimate. The Finance and Resources Committee on 12 July 2018 will consider the overall outturn position.

There has been a review of overspending/reduced income and underspending/additional income in excess of £5,000 and in excess of 1% of the budget with the reasons is brought forward for consideration by Members. This report provides the necessary explanations for the requisite budget headings.

## Recommendation

The Committee is asked to NOTE the financial and performance outturn for 2017/18, including the reasons for the financial variations as listed at appendices 2A to 2H.

#### Background papers

Nil

**APPENDIX 1** 

#### PERFORMANCE MANAGEMENT

## 1. Corporate Plan

The Corporate Plan 2016-20, approved by Cabinet on 9 February 2016, sets out the Council's priorities to achieve its vision to make "Broxtowe a great place where people enjoy living, working and spending leisure time." Over this period, the Council will focus on the priorities of Housing, Business Growth, Community Safety, Health and Environment.

The Corporate Plan prioritises local community needs and resources are directed toward the things they think are most important. These needs are aligned with other local, regional and national plans to ensure the ambitions set out in our Corporate Plan are realistic and achievable.

## 2. Business Plans

The current Business Plans (2017-20) linked to the five corporate priority areas were approved by the respective Committees in January and February 2017.

The Business Plans detail the projects and activities undertaken in support of the Corporate Plan for each priority area. These cover a three-year period but are revised and updated annually. Detailed monitoring of progress against key tasks and outcome measures in the Business Plans is undertaken by the relevant Committee. This includes a detailed annual report where performance management and financial outturns are considered together following the yearend as part of the Council's commitment to closely align financial and performance management.

#### 3. Performance management framework

As part of the Council's performance management framework, this Committee receives a high level report of progress against Corporate Plan priorities on a quarterly basis. The report provides a summary of the progress made to date towards achieving the corporate priorities and objectives. It also provides the latest data relating to Critical Success Indicators (CSI), which have been identified as a means by which outcomes relating to corporate priorities and objectives can be measured.

Further operational performance data, such as Key Performance Indicators (KPI) and Management Performance Indicators (MPI) are monitored by the respective Committee and/or General Management Team/Senior Management Team as appropriate.

The progress made towards achieving the Council's objectives by each of the five priorities, and support services are considered separately below. This report focuses on progress towards completing key tasks and actions during 2017/18 and the year end position of Critical Success Indicators (CSI).

The tables below provide a summary for each of the priority services and support services.

The Council monitors its performance using the Pentana Performance management system. Members have been provided with access to the system via a generic user name and password, enabling them to interrogate the system on a 'view only' basis. Members will be aware of the red, amber and green traffic light symbols that are utilised to provide an indication of performance at a particular point in time.

The key to the symbols used in the Pentana Performance reports is as follows:

Action	Action Status Key						
	Completed	The action/task has been completed					
	In Progress	The action/task is in progress and is currently expected to meet the due date					
	Warning	The action/task is approaching its due date (and/or one or more milestones is approaching or has passed its due date)					
	Overdue	The action/task has passed its due date					
×	Cancelled	This action/task has been cancelled or postponed					

Key Performance Indicator and Trends Key						
<b>O</b>	Alert	<b></b>	Improving			
Δ	Warning		No Change			
<b>②</b>	Satisfactory	•	Getting Worse			
?	Unknown		Data Only			

## **Housing Business Plan – Key Tasks and Areas for Improvement 2017/18**

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	HS1520_03	Policies and procedures for housing management	Policies and procedures for housing management	100%	31-Oct-2017	A centralised location and standard format for all policies and procedures established. New policies for Leasehold Management, Tenancy Management and Housing Repairs were approved by Housing Committee on 6 March 2018. A Tenant Loyalty Scheme to be launched in the Tenant and Leaseholder Matters (June).
	HS1520_04	Accreditations	Accreditations	100%	31-Mar-2018	The Council has signed up to Charters for Anti-social Behaviour, Repairs and Complaints. Accreditations are subject to ongoing review to ensure continuous improvement.
×	HS1520_13	Modernisation of Retirement Living facilities	Modernisation of Retirement Living facilities	25%	31-Mar-2018	This action was superseded by the review of Retirement Living which is outlined in the 'Future of the Retirement Living Service' report.
	HS1520_18	Private Lettings Agency	Private Lettings Agency	100%	31-Mar-2018	Private Sector Landlord Forum held on 5 October 2017. A Private Sector Liaison Officer has been appointed.
	HS1520_14	Health and Housing Partnership work	Health and Housing Partnership work	100%	31-Mar-2018	Nottinghamshire Healthcare NHS Foundation Trust has secured funding for a pilot scheme to improve hospital discharge in South Nottinghamshire. Officers continue to attend Health and Housing Commissioning Group.

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	HS1520_19	working with registered	Improved partnership working with registered providers	100%		Partnership working with other social housing providers has been improved through the membership of the Nottinghamshire Social Housing Forum and the development of the Nottinghamshire Standard for Housing Management.
<b>②</b>	HS1520_24	Value for money analysis	Value for money analysis	100%		Annual HouseMark report has been received and presented to the Housing Committee in January 2018. Further analysis of data has been completed.
<b>②</b>	HS1520_28		Update policies on adaptations and Domestic Facilities Grants	100%	·	Disabled Facilities Grant Policy approved by Housing Committee on 30 March 2017. Disabled Aids and Adaptations Policy approved by Housing Committee on 17 January 2017.

## **Housing Business Plan - Critical Success Indicators 2017/18**

S	Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
		NI 154 Net additional homes provided		360	•	•	Year-on-year upturns in housing completion is expected to improve with the adoption of the Part 2 Local Plan.
		NI 159 Supply of ready to develop housing sites	78.0%	100%	•	_	Decision taken at Jobs and Economy Committee on 26 January 2017 to fully address the five-year Housing supply shortfall in the Part 2 Local Plan.

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	HSLocal_11 Private sector vacant dwellings that are returned into occupation or demolished	54	25	•	•	The work remit has enabled the team to work with more empty home owners and has resulted in more dwellings being returned to use, in particular giving advice and guidance which increased the number of properties now in use in the private rented sector.
<b>&gt;</b>	HSTOP10_01 Overall Satisfaction	87.3%	87.0%	•	•	1,648 surveys completed during the year. Questions asked about Allocations, Caretaking, Capital Works, Tenancy and Estates, Retirement Living, Resident Involvement and Right to Buy. Analysis has shown that improving communication with our tenants is an area where the service can be improved.

## Business Growth Business Plan – Key Tasks and Areas for Improvement 2017/18

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	PLACE1215 _05	Secure best outcomes for the borough from tram works.	Work with all parties involved with NET Phase 2 in relation to compensation payments for land loss, land hand back and snagging.  Secure best possible outcomes for the borough from the construction and operation of the tram.	92%	31-Oct-2018	Compensation still to be agreed but recent significant progress has been made.  Due date has been extended from 31 December 2017.

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	JBG1316_05	Improve facilities at Beeston train station	Improve facilities at Beeston train station	50%	31-Mar-2016	Improved cycle parking was installed in March 2016. Improved car parking is currently under construction due July 2018.
	CP1417_02	Stapleford Gateway site	Redevelopment of the Stapleford Gateway site	33%	31-Mar-2020	Members of Stapleford Wards will be consulted on the future of community facilities.
	BG1620_07	CPO Moults Yard	Purchase Moults Yard	100%	31-Jul-2019	Development work began on site in March 2018. This action has been discontinued as a successful outcome was reached.
	BG1620_01	Bring forward the Part 2 Local Plan to adoption	Bring forward the Part 2 Local Plan to adoption	45%	31-Mar-2018	Local Plan Part 2 was presented to Jobs and Economy Committee 28 June 2018 for submission. Due date revised from 30 November 2017.
	JBG1518_06	, –	Assist in the preparation of Neighbourhood Plans	30%	31-Dec-2017	10 Neighbourhood Plans in preparation. Nuthall Neighbourhood Plan submitted for examination in Summer 2017.
	PLACE1013 _08	Identify the important policies to use as basis for development control in the Broxtowe Part 2 Local Plan (publication version)		100%	30-Nov-2017	Local Plan Part 2 presented to Jobs and Economy Committee 28 June 2018 for submission.
	BG1620_09	Redevelopment of Beeston Square Phase 2	Redevelopment of Beeston Square Phase 2	53%	31-Mar-2020	Planning application submitted in May 2018.

## **Business Growth - Critical Success Indicators 2017/18**

Icon	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	ERLocal_01 New Accounts on the web based Business Support Network	11	-	•	•	2016/17 = 41. The service was launched in 2016/17
	ERLocal_02 Employment Land Take Up	4,257	10,000	•	-	2016/17 = 11,390.92 (Baseline year)
	TCLocal_01a Town centre units occupied: Beeston	94%	92%	-	-	The occupancy rate remains above target.
	TCLocal_01b Town centre units occupied: Kimberley	95%	92%	•	•	Achieved target.
	TCLocal_01c Town centre units occupied: Eastwood	91%	92%	•		Achieved occupancy rate target and the rate of occupancy remains in line with the national occupancy rate.
	TCLocal_01d Town centre units occupied: Stapleford	83%	92%	•	•	Target was not achieved. Occupancy is not currently in line with National occupancy rates.

## **Environment Business Plan – Key Tasks and Areas for Improvement 2017/18**

Status	Pentana Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	ENV1316 _06	Local measurable quality standard for parks and open spaces	Develop a new measurable quality standard for parks and open spaces in the Borough	100%	31-Mar-2018	Consultation and site assessments are to be undertaken annually from 2017. Improvements will be made subject to funding.
	PLACE0912 _11	Improve play areas and sports facilities at Parks and Open Spaces	Improve play areas and sports facilities at Parks and Open Spaces	100%	31-Mar-2018	Site specific action plans and proposals have been developed. Progress on each site will be monitored against the action plan.
	GREEN0912 _14	Further Develop sites with Local Nature Reserve status	Management Plans updated	100%	31-Mar-2018	This action will no longer be reported. Actions for sites will be created to monitor progress.
	ENV1720_01	Apply a strategic approach to tree management and planting	Work with partners, land owners and other agencies	100%	31-Dec-2017	Over 500 young trees have been planted throughout 2017/18.
_	ENV1518_04	Approve Green Infrastructure Strategy and Implement Key Actions	Implement the key actions in the Green Infrastructure Strategy	72%	31-Mar-2019	Annual review of primary and secondary sites has been completed and various works identified.
	ENV1620_04	Franchises and licensing within Parks and Open Spaces	Franchises and licensing within Parks and Open Spaces	80%	31-Mar-2020	Sponsorship of floral bedding has been reviewed. Sponsorship opportunities for facilities within the parks continue to be explored.

## **Environment – Critical Success Indicators 2017/18**

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	CPLocal_03 Energy consumption across all operational sites - total kWh gas and electric ('000)	8,902	8,448	-	•	
	NI 192 Household waste sent for reuse, recycling and composting	41.75%	40.17%	•	•	Increase in the number of Garden Waste subscriptions has increased the amount of compostable waste.
	NI 195a Improved street and environmental cleanliness (levels of litter, detritus, graffiti and fly posting): Litter	5%	3%	•	•	The target has not been achieved which is attributable to mechanical breakdown. With the procurement of a new sweeper improvements in cleanliness levels will be reported in 2018/19.
	NI 196 Improved street and environmental cleanliness – fly tipping	-	2	-	-	National indicated measured in terms of incident/enforcements.  1 = very effective, 2 = effective, 3 = not effective, 4 = poor
	PSData_07 Local Nature Reserves	15	15	-	-	The number of local nature reserves has been sustained.
	PSData_09 % of Parks achieving Broxtowe Parks Standard	94%	95%	•	•	Survey being conducted in May 2018. Report will be compiled for Leisure & Environment Committee with results analysis.
	SSData_01 Number of fly tipping incidents investigated and removed	344	-	•	•	2015/16 = 479; 2016/17 = 399

## Community Safety Business Plan – Key Tasks and Areas for Improvement 2017/18

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	COMS1620 _05	abuse action plan (align with the 2016-18 Nottinghamshire Domestic and Sexual Abuse	Develop and deliver a domestic violence and abuse action plan (align with the 2016-18 Nottinghamshire Domestic and Sexual Abuse Strategic Framework)	100%	09-Nov-2017	White Ribbon Action Plan approved by Community Safety Committee on 9 November 2017.
	COMS1620 _09	Write and produce a Members guide on domestic violence and abuse	Increased understanding and knowledge, including appropriate signposting and referral pathways to assist Members if approached for help and support by a Member of their constituency	100%	30-Apr-2017	Members Guide published October 2017.
<b>②</b>	COMS1620 _11	Develop and deliver 2017 Neighbourhood Action Plan for Eastwood South	Develop and deliver a Neighbourhood Action Plan for Eastwood South	100%	31-Mar-2018	Completed.
	COMS1620 _12	Develop Information @work for safe storage of Communities information and data	Develop Information @work for safe storage of Communities information and data	100%	30-Apr-2017	Project completed.
	COMS1620 _13	for control of dogs,	Review control provisions for control of dogs, drinking in public, etc	100%	31-May-2017	New and revised Public Safety Protection Orders completed by September 2017.

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	COMS1620 _16	Develop and deliver 2017 Action Plans for Broxtowe Strategic Partnership	Develop and deliver Action Plans for Broxtowe Strategic Partnership	100%	31-Oct-2017	
	COMS1620 _19	Review Alcohol Licensing Policy	Review Alcohol Licensing Policy	25%	31-Mar-2019	Review process commenced in March 2018 by a Countywide group.
	COMS1620 _23	Review Contaminated Land Strategy	Review Contaminated Land Strategy	100%	31-Dec-2017	Approved by Leisure and Environment Committee on 28 March 2018.
	COMS1620 _25	Create a new Corporate Enforcement Protocol	Create a new Corporate Enforcement Protocol covering Environmental health, food safety and health and safety, taxi licensing, licensed premises, private sector housing, car parking and planning enforcement	100%	31-May-2017	Approved by Community Safety Committee on 20 April 2017.
<b>②</b>	COMS1720 _01	ECINs case management for ASB cases	Implement the ECINs case management and data sharing system for all anti-social behaviour cases referred to Council departments.	100%	30-Sep-2017	ECINS in use by Community Safety from 8 January 2018.
<b>②</b>	COMS1720 _02	Review Taxi Licensing Policy	Review Taxi Licensing Policy	100%	30-Sep-2017	Approved by Licensing and Appeals Committee on 13 June 2017.
	COMS1720	Sex Establishment Policy	Sex Establishment Policy	0%	31-Mar-2019	Policy is being reviewed. Draft

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	_03					amendments expected Autumn 2018.
	COMS1720 _04	Action Plan	Create and deliver the cross Departmental ASB Action Plan	100%		Progress will be reported on delivery of this action plan as appropriate.
	COMS1720 _05	incorporate Dementia and	Embed Dementia Action Plan and Alcohol Action Plan within the Health Action Plan	100%		Progress will be reported on delivery of this action plan as appropriate.

## Community Safety – Critical Success Indicators 2017/18

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	ComS_011 ASB Incidents	2,875	1,832	•	•	
	ComS_012 ASB cases received by Environmental Health	564	541	•	•	2015/16 = 566; 2016/17 = 569
	ComS_013 ASB cases received by Housing (gen Housing)	152	80	•	•	2015/16 = 86; 2016/17 = 84
	ComS_014 ASB cases received by Community Services	32	53	•	•	2015/16 = 17; 2016/17 = 56
	ComS_024 Repeat Broxtowe high risk DV cases reported to MARAC South	22%	19%	•	•	2015/16 = 21%; 2016/17 = 15%

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	ComS_025 Domestic crimes in Broxtowe borough	516	550	•	•	2016/17 = 533 Figures represent Domestic Violence crime against the person
?	ComS_085 Alcohol related referrals to Change-Grow-Live	93	-	•	•	Data updated in April 2018 by Change-Grow-Live. The data collection methodology was developed during 2017/18. The data provided is the total for 2017/18 which is the baseline year.  2016/17 = 88
?	ComS_085a Successful Outcomes from referrals to Change-Grow-Live	61	-	•	•	Data updated in April 2018 by Change-Grow-Live. The data collection methodology was developed during 2017/18. The data provided is the total for 2017/18 which is the baseline year.  2016/17 = 50
	ComS_086 Hospital stays for alcohol related harm	-	-	-	-	Data not available until September 2018

## Revenues, Benefits and Customer Services Key Tasks and Areas for Improvement 2017/18

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	RBCS1620 _01	Manage the introduction of Universal Credit (UC)	Manage the introduction of Universal Credit (UC)	50%	31-Mar-2020	Progress continues with regard to the implementation of Universal Credit within Broxtowe. The Welfare Reform group continues to meet monthly.
	RBCS1620 _03	Replace the current CRM system (Meritec)	Replace the current CRM system (Meritec)	25%	31-Mar-2019	Work continues on the new CRM implementation with a project group established and ongoing work with Meritec to ensure the system is correctly set up to maximise efficiencies.  Due date revised from 30 April 2018
	RBCS1620 _05	Widen the use of e-forms	Widen the use of e-forms	66%	31-Mar-2019	This action will be linked with the CRM implementation and will form the overall view of the Customers access to the Council's services.  Due date revised from 30 March 2018.
	RBCS1620 _06	Update the council's face to face customer contact	Update the council's face to face customer contact	5%	31-Dec-2018	Scheme discontinued following DWP withdrawal. Considerably more modest scheme currently underway
<b>②</b>	RBCS1620_ 07	Develop a counter-fraud strategy and function as part of shared service	Develop a counter-fraud strategy and function as part of shared service	100%	30-Sep-2017	Counter Fraud Strategy approved.
<b>②</b>	RBCS1620_ 08	Implement the pre- eviction protocol for rent areas and the actions	Implement the pre- eviction protocol for rent areas and the actions	100%	30-Apr-2017	This action is deemed complete. This has now been replaced with the Rent Recovery Policy.

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
		arising from the KPMG report	arising from the KPMG report			
	01	integrated Revenues and Benefits Department with Erewash BC`	Integrated service where the Revenues and Benefits service, between the two Councils, is working together	80%	31-May-2018	

#### **Revenues and Benefits Critical Success Indicators 2017/18**

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	BV9 Council Tax collected %	98.54%	98.30%		•	Council Tax collection rates have continued to improve. Over the last two years an improvement from 98.40% (2015/16) to 98.54% (2017/18)
						This has been achieved during a period of significant change for the service.
	BV10 Non-Domestic Rates collected %	98.76%	98.60%	•	•	The collection of Non-Domestic Rates is currently at its highest rate ever of 98.76%.
	BV66a Rent Collection: Rent collected as a proportion of the rent owed	98.23%	99.00%	•	•	Collection rates are within target. Alongside this there has been a 13.64% reduction in arrears between April 2017 and April 2018.

## Resources – Key Tasks and Areas for Improvement 2017/18

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	CP1620_01	Pursue tram compensation claim	Pursue tram compensation claim	50%	31-Jan-2018	Compensation still to be agreed but recent significant progress has been made.
						Due date has been extended from 31 December 2017.
	H&S1620_02	Completion of Health and Safety Action Plan 2017/18	Completion of Health and Safety Action Plan	100%	31-Mar-2018	A Business Continuity Exercise took to take place in April 2018.
	HR0912_01	Implementation Core Abilities Framework and Performance Appraisal (PA) system across workforce with Broxtowe Learning Zone (BLZ)	Ensure Council has highly developed employees who are competent to undertake their role and managers who can lead teams effectively in accordance with service/corporate objectives	100%	31-Dec-2017	Rolled out in full - all Performance Appraisal's must be completed by 31 March 2018.
	HR1417_03	Review of payroll processes to introduce electronic forms	Review of payroll processes to introduce electronic forms	90%	31-Mar-2018	E-Forms for Car Mileage Claims planned to be live from 1 April 2018.
	HR1518_01a	Member learning and development programme through Broxtowe Learning Zone	Provide flexible development opportunities form members through BLZ		31-Mar-2018	Task complete.

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	HR1620_01	Review opportunities for shared HR working with other local authorities	Review opportunities for shared HR working with other local authorities	5%	31-Mar-2018	Opportunity identified and being pursued to partner with neighbouring authority to provide training in respect of Apprenticeship Levy.
	LA1620_02	Reduce backlog of Legal Services Sundry Debtors caseload (To a reasonable level or recoverable debt)	Reducing irrecoverable debts outstanding to enable focus on those with a realistic prospect of recovery.	70%	30-Apr-2019	The amount of sundry debt being addressed by Legal Services has reduced from £450,693 (April 2017) to £168,177 (April 2018). An exercise was undertaken to write off accrued debts, which were assessed as unrecoverable. The current figure is a working figure which will continue to be considered as being paid off by respective debtors or written off when this is unachievable. Legal are currently working closely with other departments in an effort to reduce the accrual of bad debts in the Council.

#### **Resources - Critical Success Indicators 2017/18**

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	BV8 Invoices paid within 30 days of receipt %	98.5%	99.0%		•	Target achieved.
	BV12 Working Days Lost Due to Sickness Absence (Rolling Annual Figure)	13.64	7.5	•	•	

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	LALocal_07 Complaints determined by the Local Government / Housing Ombudsman against the Council	2	0		•	2015/16 = 7; 2016/17 = 6 The number of complaints determined by ombudsmen continues to decrease.
	LALocal_12 Freedom of Information requests dealt with within 20 working days %	95%	100%	•	•	The Council received 775 Freedom of Information Request in 2017/18. In line with ICO guidance a target of 85% of requests sent a response within the appropriate timescales would be acceptable. Currently exceeding the ICO target.

## ICT and Business Transformation – Key Tasks and Areas for Improvement 2017/18

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
	IT1718_01	Digital Strategy Implementation	Implementation of the technology and processes to enable effective integration between front and back office systems on a principle of Digital by Default.	100%		No further progress will be made on this as no web development officer is in post to undertake these duties.
	IT1718_14	ICT Security Compliance	PCI-DSS & Government Connect - Maintain compliance with latest Security standards and support annual assessments.	100%	31-Dec-2017	The Council is compliant with the PSN and PCI-DSS requirements, and maintains a strong security posture.
	IT1718_17	E-Facilities	Purchase and implement necessary hardware and	100%	31-Mar-2018	

Status	Action Code	Action Title	Action Description	Progress Bar	Due Date	Comments
			software to enable the development of the Mobile Working approach and facilities – to include the initiation of pilot projects to trial available mobile working facilities. In subsequent years to enable the continued development of the Council's e-facilities.			
	IT1718_20	Open Housing System Upgrade	Provide the necessary resource to assist the upgrade of the Capita Open Housing system and implement the Total Mobile working solution	100%	31-Mar-2018	

## **ICT and Business Transformation Critical Success Indicators 2017/18**

Status	Code & Short Name	2017/18 Outturn	2017/18 Target	Short Term Trend	Long Term Trend	Latest Note
	ITLocal_01 System Availability	99.6%	99.5%	•	_	Reduction in performance due to the effects of systems downtime not being verified in Q3. Impact not assessed and as such availability impact showing higher.
	ITLocal_05 Virus Protection	100%	100%	•		

# HOUSING GENERAL FUND SUMMARY

	Revised Estimate 2017/18	Actual 2017/18	Variation	%
	£	£	£	
Hostel Accommodation	(55,700)	(22,856)	32,844	(59.0)
Plowmans Court Hostel	4,600	0	(4,600)	(100.0)
Hostel Management	39,700	29,042	(10,658)	(26.8)
Housing Benefits & Welfare	178,450	0	(178,450)	(100.0)
Rent Allowances	203,950	0	(203,950)	(100.0)
Homelessness GF	208,400	126,970	(81,430)	(39.1)
Housing Strategy	87,300	17,594	(69,706)	(79.8)
Registered Social Landlords	3,200	15,338	12,138	379.3
Housing Advice	7,800	68,095	60,295	773.0
Miscellaneous Housing	500	(3,015)	(3,515)	(703.1)
Total Housing	678,200	231,169	(447,031)	(65.9)

# <u>VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME</u> <u>AND EXPENDITURE 2017/18</u>

#### **GENERAL FUND HOUSING**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Varia	tion
	£	£	£	%
Hostel Accommodation Electricity/Gas/Water Charges	16,600	9,088	(7,512)	(45.3)
Hostel occupancy was less than anticipated which resulted in lower utility charges				
Repairs and Maintenance/Materials	11,700	6,711	(4,989)	(42.6)
Hostel occupancy was less than anticipated which resulted in reduced day to day repairs and maintenance charges				
<u>Income</u>	(89,000)	(47,599)	41,401	(46.5)
The lower than anticipated hostel occupancy levels meant that rent received was below expectations				
Housing Benefits/Rent Allowances  Net Cost of Administering Rent Rebates / Rent Allowances	357,400	0	(357,400)	(100.0)
This variance is a result of changes to the mechanism of internal recharges. It does not reflect any change in activity or expenditure and will be matched with a corresponding overspend in the Resources corporate priority.				
Homelessness (GF) B&B Invoices	33,500	23,381	(10,119)	(30.2)
The use of bed and breakfast facilities to accommodate the homeless has been less than anticipated in 2017/18				

#### **GENERAL FUND HOUSING**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variat	
	£	£	£	%
Homelessness (GF) (cont'd) Grant Income	(86,350)	(100,939)	(14,589)	16.9
Homelessness grant income is now amalgamated into the main Revenue Support Grant. It is no longer recognised separately within the revenue budget. However additional grant for prevention of homelessness was received in the year				
Housing Strategy Consultants	50,000	0	(50,000)	(100.0)
The Housing Committee on 19 July 2016 approved that this sum be allocated for work to set up a Housing Delivery Company. This work did not progress as intended. Housing Committee agreed on 14 March 2018 to use this budget to produce a draft house building delivery plan. The Finance and Resources Committee will be asked on 12 July 2018 to carry this budget forward into 2018/19 to enable the work to be undertaken.				
Lifeline and Miscellaneous Housing Systems Service Maintenance	19,600	11,121	(8,479)	(43.3)
A review of internal charges has resulted in the cost of servicing being charged to Retirement Living				
Equipment This budget allows for purchase of additional pendants and neck cords. The cost is demand led and fewer purchases were made in 2017/18 than anticipated	30,000	15,672	(14,328)	(47.8)
Grounds Maintenance Charge A review of the work carried out by the grounds maintenance team has resulted in more accurate charging and led to this underspend	15,000	0	(15,000)	(100.0)

#### **GENERAL FUND HOUSING**

Cost Centre	Revised Estimate 2017/18 £	Actual 2017/18 £	Variat £	ion %
	L	L	£	70
Central Support Recharges				
Hostel Accommodation	41,300	29,923	(11,377)	(27.5)
Housing Benefits/Rent Allowances	25,000	0	(25,000)	(100.0)
Homelessness (GF)	236,000	178,117	(57,883)	(24.5)
Housing Strategy	37,300	17,594	(19,706)	(52.8)
Housing Advice	7,800	68,095	60,295	773.0
Registered Social Landlords	3,200	15,338	12,138	379.3
Lifeline and Miscellaneous Housing	91,700	135,260	43,560	47.5
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

#### **HOUSING REVENUE ACCOUNT SUMMARY**

	Revised Estimate 2017/18	Actual 2017/18	Variation	%
	£	£	£	
HOUSING REVENUE ACCOUNT				
<u>Expenditure</u>				
Capital Charges:				
Depreciation	3,476,300	3,863,517	· ·	11.1
Repairs Expenditure	3,401,200	3,446,302	45,102	1.3
Management Expenditure:				
General	2,337,465	2,009,030	, ,	(14.1)
Special	1,605,300	2,420,656	· ·	
Contingency	30,000	0	(30,000)	(100.0)
Other Charges	33,000	256,826		
	10,883,265	11,996,331	1,113,066	10.2
<u>Income</u>				
Dwelling Rents	(15,362,900)	(15,321,289)	-	(0.3)
Non Dwelling Rents	(290,700)	(264,025)	-	, ,
Charges to Leaseholders for Services	(50,000)	(61,153)	•	22.3
Heating Charges	(800)	(834)	(34)	4.3
Other Charges for Services and Facilities	(25,000)	(115,062)	(90,062)	360.2
Management Charge - DWP	(390,850)	(390,850)	0	0.0
Management Charge – Subsidy from	(0.000)		9,200	(100.0)
General Fund	(9,200)	0	·	, ,
Management Charge – Fees & Charges	(229,550)	(255,602)	(26,052)	11.3
	(40.050.000)	(40, 400, 045)	(40.045)	0.0
	(16,359,000)	(16,408,815)	(49,815)	0.3
Not Cost of Somions	(E 47E 72E)	(4 442 494)	4 062 254	(40.4)
Net Cost of Services	(5,475,735)	(4,412,484)	1,063,251	(19.4)
Loan Charges	2 554 200	2,350,431	(203,869)	(8.0)
Interest Receivable	2,554,300 (40,050)	(78,778)	(38,728)	96.7
Interest Receivable	(40,050)	(10,110)	(36,726)	90.7
Net Operating Expenditure	(2,961,485)	(2,140,831)	820,654	(27.7)
The operating Expenditure	(2,501,400)	(2,140,001)	020,004	(27.17)
Revenue Contribution to Capital	1,289,900	753,196	(536,704)	(41.6)
Overall Deficit/(Surplus) in year	(1,671,585)	(1,387,635)	283,950	(17.0)
Working Balance Brought Forward	(2,474,794)	(2,474,794)	0	0.0
Working Balance Carried Forward	(4,146,379)	(3,862,429)	<b>283,950</b>	(6.8)
TWO KING Dalance Cameu Forward	(4,140,379)	(3,002,429)	203,330	(0.0)

# <u>VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME</u> <u>AND EXPENDITURE 2017/18</u>

	Revised Estimate 2017/18	Actual 2017/18	Varia	iion
Cost Centre	£	£	£	%
Directorate of Housing Salaries An internal review of staff duties has resulted in Sheltered Housing staff now being allocated to Housing Management - Special Expenses	2,155,865	2,107,041	(48,824)	(2.3)
Postages Postage costs for all of the housing services are now charged to this account	10,800	19,481	8,681	80.4
Insurance A review of the charging methodology for insurance premiums has resulted in a more appropriate allocation of costs.	227,100	186,735	(40,365)	(17.8)
Housing Management - General Audit Fees The audit fee for HRA has been included within the Corporate and Democratic Core charge for 2017/18	8,900	0	(8,900)	(100.0)
Choice Based Lettings The budgets for choice based lettings service were previously split over various other housing service areas. The costs have now been brought together and the budget will reflect this is 2018/19	10,000	(22,800)	(32,800)	(328.0)
Subscriptions  Membership of benchmarking and performance clubs and forums has increased	10,000	15,900	5,900	59.0
Tenant Participation Expenditure has remained in line with previous years	19,100	9,895	(9,205)	(48.2)

Cost Centre	Revised Estimate	Actual 2017/18	Varia	tion
	2017/18 £	2017/18 £	£	%
Housing Management - General (cont'd)				
Capital Charges The replacement of Repairs vehicles has resulted in an increase in the depreciation charge	16,100	36,367	20,267	125.9
Housing Management - Special Expenses Salaries	164,900	276,256	111,356	67.5
An internal review of staff duties has resulted in some Retirement Living staff now being allocated to Housing Management - Special Expenses. This, together with an additional post within Tenancy services, has resulted in an overspend				
Access Lighting to Flats Repair and maintenance costs of flat lighting systems has been less than anticipated	54,000	47,403	(6,597)	(12.2)
Repairs and Maintenance and Cleaning Contractors have been providing additional cleaning services to Retirement Living properties	170,100	184,677	14,577	8.6
Grounds Maintenance Charge A review of the work carried out by the grounds maintenance team has resulted in a more appropriate charge to this area	377,450	500,857	123,407	32.7
System Service Maintenance A review of internal charges has resulted some servicing costs being charged to Retirement Living.	78,700	68,896	(9,804)	(12.5)
Fuel and Light Heating and lighting costs in communal areas have been greater than anticipated	129,300	139,404	10,104	7.8

Cost Centre	Revised Estimate	Actual	Varia	tion
	2017/18 £	2017/18 £	£	%
Housing Management - Special Expenses			~	70
(cont'd) Water and Sewerage Water usage has been significantly less than anticipated	26,000	17,594	(8,406)	(32.3)
Equipment Tools and Materials General Retirement Living repair and maintenance has been less than anticipated	45,150	30,268	(14,882)	(33.0)
Older Persons Week The costs of the planned week's activities were significantly less than expected	9,000	1,338	(7,662)	(85.1)
Telephone/Mobile costs Additional telephony charges were incurred during the year	32,000	44,065	12,065	37.7
Consultancy Fees  The Finance and Resources Committee agreed on 12 October 2017 to allocate £20,000 from HRA reserves to fund an options study for the future of the Retirement Living service. This was in progress at 31 March 2018 and the Finance and Resources Committee will be asked on 12 July 2018 to approve the carry forward of £9,800 into 2018/19 to meet costs in the new year	20,000	10,174	(9,826)	(49.1)
Depreciation The depreciation charge for 2017/18 exceeded the budget following upward revaluation of the housing stock at 31 March 2017 arising from the change in the Social Housing Factor from 34% to 42%.	3,476,300	3,863,517	387,217	11.1
Loan Charges A statutory amendment to the calculation of the loan charge to the HRA has resulted in the charge being lower than anticipated	2,554,300	2,350,431	(203,869)	(8.0)

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variat	tion
	2017/18 £	2017/18 £	£	%
Housing Management - Special Expenses (cont'd) Interest on HRA Balance A higher than anticipated HRA balance during the year resulted in additional interest being earned.	(40,050)	(78,778)	(38,728)	96.7
Revenue Contribution to Capital				
Lower than expected expenditure on the HRA capital programme in 2017/18 meant that a reduced revenue contribution was required to finance the 2017/18 HRA capital expenditure. The Finance and Resources Committee will be asked on 12 July 2018 to carry forward £172,050 into 2018/19 to meet the cost of work in the 2017/18 capital programme that will now be undertaken in 2018/19.	1,289,900	753,196	(536,704)	(41.6)
Housing Repairs Salaries A higher than anticipated number of vacancies during 2017/18 has resulted in this budget underspend.	907,100	865,901	(41,199)	(4.5)
<u>Subcontractors</u>	1,157,800	1,233,349	75,549	6.5
Subcontractor costs in 2017/18 were higher than budgeted but were partially offset by the salaries underspends as shown above.				
Internal Redecoration Scheme There was a lower take up in 2017/18 of redecoration vouchers than anticipated	15,100	5,027	(10,073)	(66.7)
Compensation There have been a high number of claims in respect of disrepair during the year	0	17,909	17,909	
Vandalism - Housing repairs There has been a reduction in vandalism at council properties compared with previous years	30,000	15,811	(14,189)	(47.3)

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Varia	tion
	£	£	£	%
Housing Repairs (cont'd)				
Bad Debt Provision and Write Off	21,800	103,420	81,620	374.4
A substantial number of repairs invoices deemed unrecoverable, dating back over a number of years, were written off in 2017/18				
Retirement Living Safety Improvements This budget has been split in 2018/19 to better reflect the scheme improvements and communal facility enhancements which are charged here. The 2018/19 budget has been reduced to reflect this underspend	231,000	168,843	(62,157)	(26.9)
Charges to Leaseholders  Management and Insurance Changes in the apportionment method for Central Support Recharges and review of insurance premium charge to reflect insurance requirements more accurately have increased the charge to leaseholders for these services	(30,100)	(46,053)	(15,953)	53.0
Other Charges for Services and Facilities				
Housing Relets Invoices were raised to tenants to recover costs incurred following breach of tenancy	0	(10,200)	(10,200)	
Other Income This relates to the recovery of additional costs incurred in the external painting of leasehold flats	(4,700)	(17,294)	(12,594)	268.0

Cost Centre	Revised Estimate 2017/18 £	Actual 2017/18 £	Varia:	tion %
Central Support Recharges Directorate of Housing Housing Management - General Housing Management - Special Expenses Housing Repairs	491,200 1,896,860 237,100 721,400	1,859,895 825,572	, ,	
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

## BUSINESS GROWTH SUMMARY

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variatio	
Disease of Disease 9 December 2004	£	£	£	%
Directorate of Planning & Development	0	0	0	0.0
Planning - Management	900	0	(900)	(100.0)
Planning - Central Support	14,450	0	(14,450)	(100.0)
Planning - Development/Policy	0	8,118	8,118	
Planning - Crime	1,400	0	(1,400)	100.0
Strategy Performance & Equality	100	0	(100)	(100.0)
Development Control	421,700	148,322	(273,378)	(64.8)
Building Control	105,400	46,804	(58,596)	(55.6)
Planning Policy	412,150	153,892	(258,258)	(62.7)
Planning Management	45,400	0	(45,400)	(100.0)
Industrial Development	(110,750)	(114,968)	(4,218)	3.8
Craft Centre Complex	(12,000)	6,694	18,694	(155.8)
Economic Development	360,500	317,786	(42,714)	(11.8)
Car Parks - Surface	55,250	(40,680)	(95,930)	(173.6)
Total Business Growth	1,294,500	525,968	(768,532)	(59.4)

## <u>VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME</u> <u>AND EXPENDITURE 2017/18</u>

Cost Centre	Revised Estimate	Actual 2017/18	Variati	on
	2017/18 £	2017/18 £	£	%
Planning & Development Division Salaries This underspend has been caused by time taken to fill newly created posts following the restructure agreed by Policy and Performance Committee on 4 July 2017 as well as a number of other vacancies	994,900	910,504	(84,396)	(8.5)
Advertising A greater than anticipated number of planning applications and the accompanying legal requirement to publish details in a local newspaper resulted in an overspend.	13,000	24,456	11,456	88.1
Development Control Consultancy Fees The need for consultants was lower than anticipated as the majority of the workload was able to be dealt with in house.	25,000	10,723	(14,277)	(57.1)
Planning Fees Due to the site allocations being finalised as part of Part 2 of the Local Plan, there have been a number of major applications which have contributed to a large overachievement of income against budget.	(440,000)	(498,927)	(58,927)	13.4
Planning Policy LDF/Sustainability Officer This budget relates to the use of a post at Nottingham City Council. This was not utilised during 2017/18 and has been removed from the 2018/19 budget	7,000	0	(7,000)	(100.0)
Counsel Fees The need for external counsel was lower than anticipated at the time of setting the budget as the majority of the workload was able to be dealt with in house.	8,200	0	(8,200)	(100.0)

Cost Centre	Revised Estimate	Actual 2017/18	Variati	on
	2017/18 £	2017/18 £	£	%
Planning Policy (cont'd)  Neighbourhood Planning Support  This budget was established to support town and parish councils undertake work to produce Neighbourhood Plans. Due to work on the Core Strategy and Part 2 Local Plan, limited expenditure was incurred in 2017/18. The Finance and Resources Committee will be asked on 12 July 2018 to approve a carry forward request of £33,000 into 2018/19 to allow the work to continue as intended.	38,800	6,044	(32,756)	(84.4)
Local Plan Examination Due to delays the majority of this project has slipped into 2018/19. Therefore, the Finance and Resources Committee will be asked on 12 July 2018 to approve the carry forward of £79,700 into 2018/19 to meet the expected costs.	80,000	293	(79,707)	(99.6)
Generic Part 2 of Local Plan This project was scheduled for 2016/17, but some remaining work was completed in 2017/18. There is a corresponding income on Other Income (see below)	0	6,775	6,775	
Other Income The additional income is primarily due to income of £32,050 received in 2017/18 that related to work undertaken in the previous year for which no budget provision had been made.	(10,000)	(42,060)	(32,060)	320.6
Government Grants  New Burden Payments were received in 2017/18 relating to custom and self-build housing and the preparation of a brownfield register that were not anticipated when the budget was set.	0	(65,130)	(65,130)	
Industrial Development Rental Income There was an over achievement of income due to a more favourable than budgeted vacancy factor.	(166,850)	(174,620)	(7,770)	(4.7)
Repairs and Maintenance Expenditure on repairs and maintenance was significantly lower than had been anticipated	19,350	8,740	(10,610)	54.8

Cost Centre	Revised Estimate	Actual	Variati	on
	2017/18 £	2017/18 £	£	%
Economic Development	29,100	13,026	(16,074)	(55.2)
Assistance to Local Businesses Expenditure incurred in 2017/18 was less than had been anticipated. Given the significance of this work, the Finance & Resources Committee will be asked on 12 July 2018 to approve the carry forward of the £16,000 underspend into 2018/19	25,100	10,020	(10,01.1)	(00.2)
Town Centre Management This budget is the remaining sum from the £120,000 received from the Governments High Street Innovation Fund to encourage businesses back into town centres. The Finance & Resources Committee will be asked on 12 July 2018 to approve the carry forward of the underspend of £14,200 into 2018/19 allow the work to target new businesses into empty units who currently have a strong online presence and who would be supplemented by high street representation, to be undertaken in 2018/19	25,750	11,481	(14,269)	(55.4)
Partnership Development As part of restructure to the Economic Development team in 2015/16, an annual budget was established to enable the Council to access external funding directed to joined up and partnership working. No expenditure was incurred in 2017/18. The Finance and Resources Committee will be asked on 12 July 2018 to approve the carry forward of this budget into 2018/19 to enable the planned work to be undertaken	10,000	0	(10,000)	(100.0)
Stapleford Town Centre This relates to an initial sum of £20,000 originally allocated in 2013/14 to promote the setting up of a town centre group and other initiatives in Stapleford. A total of £16,600 has been spent up to 2017/18. The Finance and Resources Committee will be asked on 12 July 2018 to approve the carry forward of the remaining £3,400 into 2018/19 to allow further work to be undertaken	3,450	45	(3,405)	(98.7)

Cost Centre	Revised Estimate 2017/18 £	Actual 2017/18 £	Variati £	on %
Car Parks Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry within the Resources portfolio results in no effect overall in the Council's net expenditure	18,150			(68.0)
Pay and Display Income Two additional car parks came into operation in 2017/18 and this, along with increased usage, has resulted in pay and display income being greater than anticipated	(145,000)	(176,450)	(31,450)	21.7
Off Street Penalty Charge Notice Income Similar to pay and display income, increased usage of the Council's car parks appears to have resulted in an increased in the number of fines issued.	(70,000)	(95,490)	(25,490)	36.4
Central Support Charges Development Control Planning Policy Industrial Development Craft Complex Centre Car Parks	402,950 38,900 10,900 4,000 18,700	22,460 26,720	(16,440) 15,820	(38.9) (42.3) (145.1) (370.3) 26.8
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

#### ENVIRONMENT SUMMARY

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	on
	2017/18 £	2017/16 £	£	%
Environmental Improvements	183,750	208,036	24,286	13.2
Property Admin Services	172,300	200,030	(172,300)	(100.0)
Environment Services - Management	21,600	0	(21,600)	(100.0)
T&W - Parks & Environment	21,000	0	(21,000)	0.0
T&W - Farks & Environment T&W - Environmental Maintenance (/Misc)	8,722	(71,778)	(80,500)	(922.9)
T&W - Capital Works	(91,050)	(71,778)	91,050	(100.0)
T&W - Capital Works	3,000	0	(3,000)	(100.0)
Vehicles Cost - Housing Repairs	(5,500)	0	5,500	(100.0)
Vehicles Cost - Housing Repairs  Vehicles Cost - Gas Repairs	(1,000)	0	1,000	(100.0)
Vehicles Cost - Cas Repairs  Vehicles Cost - Courier Service	(1,000)	0	0	0.0
Vehicles Cost - Car Parks	0	0	0	0.0
Vehicles Cost - Neighbourhood Wardens	o O	0	0	0.0
Vehicles Cost - Estate Caretakers	(1,500)	0	1,500	(100.0)
Vehicles Cost - Mechanics Vans	(1,000)	0	0	0.0
Vehicles Cost - JCB	(2,000)	0	2,000	(100.0)
Vehicles Cost - Public Buildings	(2,000)	0	2,000	0.0
Refuse Collection	1,457,628	1,276,803	(180,825)	(12.4)
Recycling	180,400	158,364	(22,036)	(12.2)
Refuse Collection - Vehicles & Plant	1,400	0	(1,400)	(100.0)
Public Conveniences	118,800	89,897	(28,903)	(24.3)
Repairs & Maintenance - Kimberley	(21,350)	0	21,350	(100.0)
Grounds Maintenance - Kimberley	(66,400)	0	66,400	(100.0)
Grounds Maintenance - Kim - Vehicle Cost	1,400	0	(1,400)	(100.0)
Kimberley Admin Building	7,250	0	(7,250)	(100.0)
Stapleford - C.A.S.	(12,150)	(12,657)	(507)	\ 4.2
Street Cleansing Vehicle Costs	900	Ò	(900)	(100.0)
Highways Sweeping	654,750	678,127	23,377	` 3.6
Abandoned Vehicles	1,800	2,184	384	21.3
Highways - Borough Services	79,150	144,282	65,132	82.3
Sign Shop	24,500	25,406	906	3.7
Hall Park	82,050	58,587	(23,463)	(28.6)
Cemeteries	162,800	98,633	(64,167)	(39.4)
Open Space	442,350	360,609	(81,741)	(18.5)
Tree Management	139,600	188,483	48,883	35.0
Nottingham Canal	45,850	111,485	65,635	143.2
Parks & Recreation Grounds Management	105,300	0	(105,300)	(100.0)
Allotments Management	0	(2,576)	(2,576)	
Beeston Allotments	2,900	(1,464)	(4,364)	(150.5)
Beeston Parks	402,400	240,640	(161,760)	(40.2)
Stapleford Parks	193,800	153,513	(40,287)	(20.8)
Eastwood Parks	87,650	46,023	(41,627)	(47.5)
Kimberley Depot	300	0	(300)	(100.0)
Kimberley Stores	450	14,587	14,137	3,141.5
Mechanics - Kimberley Depot	2,050	0	(2,050)	(100.0)
Total Environment	4,383,900	3,767,185	(616,715)	(14.1)

# <u>VARIANCES BETWEEN ACTUAL AND ESTIMATED INCOME</u> <u>AND EXPENDITURE 2017/18</u>

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variati	on
	2017/18 £	2017/18 £	£	%
Environmental Improvements  Drainage/Dykes & Ditches  There was a lower than anticipated requirement in 2017/18 for improvement works at these facilities	35,000	26,594		(24.0)
Cookies Pond Works Flooding at the Cookies Pond site required unexpected remedial works to be undertaken	0	12,018	12,018	100.0
Environment Services - Management & Admin Salaries A number of underspends arose on various posts	554,300	539,384	(14,916)	(2.7)
Environment - Miscellaneous  Verges Grounds Maintenance Year-End Recharges  Verges contract expenditure was included in the Grounds Maintenance year end recharges and was significantly lower than had been originally anticipated.	152,000 0	0 83,425	(152,000) 83,425	(100.0)
Refuse Collection Salaries Agency Staff Additional agency staff were incurred primarily as a consequence of a need to cover for staff sickness absence. Some of these agency costs were incurred on Street Cleansing and Grounds Maintenance activities.	882,200 294,450		1,131 36,775	0.1 12.5
Replacement Wheeled Bins The demand for replacement wheeled bins in 2017/18 plus those required for new housing developments, has resulted in an overspend. This is almost entirely offset by the additional income from the sale of wheeled bins as shown below.	67,000	88,362	21,362	31.9
Garden Waste Income Greater demand for the garden waste collection service has resulted in additional income The budget for 2018/19 has been increased to reflect this.	(591,000)	(623,418)	(32,418)	5.5

Cost Centre	Revised Estimate	Actual	Variati	on
	2017/18 £	2017/18 £	£	%
Refuse Collection (cont'd) Sale of Wheeled Bins Income from the sale of wheeled bins in 2017/18, including those required for new housing developments, has significantly exceeded expectations.	(10,000)	(29,759)	(19,759)	197.6
Recycling Credits - Glass Greater than anticipated volumes of glass collected have resulted in additional recycling credits.	(90,000)	(98,015)	(8,015)	8.9
Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry within the Resources portfolio results in no effect overall in the Council's net expenditure	393,650	234,200	(159,450)	(40.5)
Trade Refuse Charges Income from trade refuse collections in 2017/18 was higher anticipated due to an increase in the customer base.	(524,000)	(550,133)	(26,133)	5.0
Recycling Miscellaneous Expenses The requirement for miscellaneous expenses was significantly less than had been anticipated.	8,000	2,764	(5,236)	(65.5)
Recycling Credits Greater than anticipated volumes of recycling have resulted in additional recycling credits.	(10,000)	(17,195)	(7,195)	71.9
Grounds Maintenance Salaries Agency Staff Subcontractors Vehicles Establishment vacancies and seasonal demands led to an underspend on salaries that required additional expenditure on agency staff and subcontractors. Effective vehicle maintenance resulted in an underspend on vehicle costs.	811,400 50,000 164,500 222,400	296,941	46,288 132,441	(8.2) 92.6 80.5 (25.3)
Materials - Direct The volume of work undertaken by the Grounds Maintenance team resulted in an increased requirement for materials.	26,500	41,670	15,170	57.2
Waste Disposal Waste disposal costs in 2017/18 were at a similar level to those in 2016/17. The 2018/19 budget will be reduced accordingly.	32,000	7,252	(24,748)	(77.3)

Cost Centre	Revised Estimate	Actual	Variati	on
	2017/18 £	2017/18 £	£	%
Grounds Maintenance (cont'd) Security Attendants The demand for security attendants was lower than anticipated.	72,500	62,696	(9,804)	(13.5)
Other Income Extra income has been received in response to requests from customers for further works to be undertaken on their behalf. This partly accounts for the additional expenditure on sub-contractors.	(13,200)	(43,442)	(30,242)	229.1
Street Cleansing Salaries	462,500	398,215	(64,285)	(13.9)
Agency Staff	43,400	87,624	44,224	101.9
There was a higher than anticipated demand for agency staff due to staff vacancies and the need to cover for sickness absences. This was more than offset by the underspend on salaries costs and helps to offset some of the overspend on Refuse Collection agency costs.				
Transport Expenditure on the operation and maintenance of vehicles was greater than had been anticipated.	89,150	109,540	20,390	22.9
Materials - Stores Additional expenditure was incurred in 2017/18, primarily on bags and plastic sacks. The costs are expected to decrease from 2018/19 following recent procurement exercises.	13,000	25,559	12,559	96.6
Other Income Income Income has exceeded expectations, partly due to an additional £5,000 in respect of cleaning work at Kimberley Precinct	(1,500)	(13,899)	(12,399)	826.6
Sign Shop Sub-Contractors Expenditure in 2017/18 was greater than the expenditure of £8,550 in 2016/17 indicating the budget allocated was insufficient. The 2018/19 budget has been increased to £8,000 to reflect this.	3,000	11,281	8,281	276.0
Open Spaces Grounds Maintenance - External There was a reduced requirement in 2017/18 for external work to be completed on Open Spaces	38,700	31,754	(6,946)	(17.9)

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	on
	£	£	£	%
Beeston Allotments Premises Costs The full cost of outstanding debt relating to 2010 works at the Borehole has been accounted for in 2017/18.	0	23,566	23,566	
Parks Bailiff Charges This relates to expenditure incurred on the removal of travellers from Bramcote Hills Park for which there was no budget provision.	0	6,675	6,675	
Maintenance and Testing These costs are now being charged to other areas where there is suitable budget provision. The budget on this particular heading has been removed in 2018/19.	19,600	0	(19,600)	(100.0)
Third Party Payments This expenditure relates to a payment to WREN required to access their £50,000 contribution towards a capital scheme at Leyton Crescent Recreation Ground.	0	5,313	5,313	
Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry within the Resources portfolio results in no effect overall in the Council's net expenditure	53,050	41,082	(11,968)	(22.6)
Kimberley Depot Premises Costs This overspend was mainly due to work to install a new lamp column in the Depot yard.	10,000	15,815	5,815	58.1
Mechanics Tools Vehicle maintenance work undertaken in 2017/18 resulted in a requirement for additional expenditure on tools	13,000	18,902	5,902	45.4
Capital Works Employee Expenses This underspend is primarily the result of the move to the new structure approved at Policy and Performance Committee on 4 July 2017.	336,400	292,600	(43,800)	(13.0)
Recharge Income Reductions in salary and other expenditure resulted in less income being recharged to other areas than had been allowed for in the budget.	(487,000)	(372,520)	114,480	(23.5)

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	on
	£	£	£	%
Estates Employee Expenses The requirement to cover a vacancy for part of the year with agency staff resulted in an overspend.	226,200	233,780	7,580	3.4
Recharge Income Changes to salary and other expenditure headings resulted in more income being recharged to other areas than had been allowed for in the budget.	(238,600)	(251,380)	(12,780)	5.4
External Contributions Income Additional income received from Ashfield DC to work undertaken for them by the Estates Manager and other members of the Estates team.	-20,000	-38,900	(18,900)	94.5
Highways - Borough Services Christmas Decorations Expenditure on the installation and maintenance of Christmas decorations was less than had been anticipated due to conversion to LED.	43,000	37,880	(5,120)	(11.9)
Energy Efficiency Activity undertaken has been less than planned due to the availability of limited staff resources. The Finance and Resources Committee on 12 July 2018 will be asked to approve a carry forward of £7,000 into 2018/19 to meet the cost of a new utilities monitoring database.	15,000	7,240	(7,760)	(51.7)
Cemeteries Premises Costs / Repairs and Maintenance This underspend has arisen due to delays in the extended monitoring of groundwater at Chilwell Cemetery. The Finance and Resources Committee on 12 July 2018 will be asked to approve a carry forward of £5,000 into 2018/19 to allow this work to be concluded.	66,950	61,930	(5,020)	(7.5)
Closed Churchyards No costs relating to closed churchyards were incurred in 2017/18.	5,300	0	(5,300)	(100.0)
National Assistance Act This is a reactive budget driven by circumstances of individuals There has been no demand for this in 2017/18.	4,000	0	(4,000)	(100.0)

Cost Centre	Revised Estimate 2017/18 £	Actual 2017/18 £	Variatio £	on %
Cemeteries (cont'd) Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry within the Resources portfolio results in no effect overall in the Council's net expenditure.	41,550	9,470	(32,080)	(77.2)
Income Whilst income from internment fees and grave purchases in 2017/18 was below the budget, this was more than offset by income from memorial fees and the burial of cremated remains being greater than had been anticipated.	(182,550)	(188,270)	(5,720)	3.1
Central Support Recharges Refuse Collection Public Conveniences Street Cleansing Open Spaces Tree Management Nottingham Canal T&W - Capital Works T&W - Estates Highways - Borough Services Cemeteries  Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.	345,650 26,700 (38,000) 317,050 77,900 43,150 55,600 33,400 11,600 27,400	10,448 (12,331) 135,372 123,521	(16,252) 25,669 (181,678) 45,621 67,920 20,500 20,550 73,900	14.7 (60.9) (67.6) (57.3) 58.6 157.4 36.9 61.5 637.1 (24.6)

# COMMUNITY SAFETY SUMMARY

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variati	on
	£	£	£	%
Communities Team	(72,217)	293,935	366,152	(507.0)
ссту	220,900	160,549	(60,351)	(27.3)
South Notts Crime Reduction Partnership	0	0	0	
Neighbourhood Wardens	161,550	117,781	(43,769)	(27.1)
Licensing	7,500	32,862	25,362	338.2
Private Sector Housing	(23,800)	0	23,800	(100.0)
Public Protection	75,200	98,257	23,057	0.0
Environmental Health	470,000	501,835	31,835	6.8
Pest Control	2,800	1,585	(1,215)	(43.4)
Private Sector Housing Renewal	708,650	656,287	(52,363)	(7.4)
Total Community Safety	1,550,583	1,863,091	312,508	20.2

# VARIATIONS BETWEEN ACTUAL AND ESIMATED INCOME AND EXPENDITURE 2017/18

#### **COMMUNITY SAFETY**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variati	on
	2017/18 £	2017/18 £	£	%
Communities Team Recharge Income Due to the nature of the service, it was decided not to recharge out to other Council services. This change in approach has been reflected in the 2018/19 budget.	(311,800)	0	311,800	(100.0)
Private Sector Housing Recharge Income This under-recovery arose due to the budget not being amended to a staffing change during the year. This has been reflected in the 2018/19 budget.	(225,500)	(194,800)	30,700	(13.6)
Private Sector Housing Renewal Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry within the Resources portfolio results in no effect overall in the Council's net expenditure	654,900	548,100	(106,800)	(16.3)
HMO Licence There was significant additional income due to a greater than anticipated increase in new applications.	(1,600)	(13,800)	(12,200)	762.5
Handy Persons Service The cost of this service is now charged to the Disabled Facilities Grants budget within the capital programme that is funded through the Better Care Fund. This will also be reflected in the 2018/19 budget.	14,300	0	(14,300)	(100.0)
CCTV Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry within the Resources portfolio results in no effect overall in the Council's net expenditure	2,300	49,800	47,500	2,065.2
Adhoc Recharges A review of recharges made to the HRA in 2017/18 identified that CCTV costs in respect of council housing properties should be recharged to the HRA accordingly. This practice will now continue in future years.	0	(36,000)	(36,000)	

#### **COMMUNITY SAFETY**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	
	£	£	£	%
CCTV (cont'd) CCTV Monitoring A reduction in CCTV monitoring hours resulted in an underspend. This was partly offset by additional costs associated with in the increase in the national living wage.	68,000	58,500	(9,500)	(14.0)
CCTV Maintenance Due to resourcing constraints, it was not possible to undertake certain projects that had been planned for 2017/18. The Finance and Resources Committee on 12 July 2018 will be asked to approve the carry forward of £8,000 into 2018/19 to undertake wireless transmission links works which should result in cost savings in future years.	64,700	56,300	(8,400)	(13.0)
Environmental Health Employee Expenditure	421,200	405,300	(15,900)	(3.8)
A higher than anticipated number of vacancies during 2017/18 has resulted in this budget underspend.				
Recharge Income The 2017/18 budget for the recharge of staffing costs to other service areas based on work undertaken was over-stated. This has been amended in the 2018/19 budget	(93,100)	(29,800)	63,300	(68.0)
Noise Monitoring Equipment As no noise monitoring equipment was purchased in 2017/18, the Finance and Resources Committee on 12 July 2018 will be asked to approve the carry forward of £2,500 into 2018/19 to allow this to be combined with the 2018/19 budget to allow suitable noise monitoring equipment to be purchased.	2,500	0	(2,500)	(100.0)
Neighbourhood Wardens Employee Expenditure	90,900	70,800	(20,100)	(22.1)
A higher than anticipated number of vacancies during 2017/18 has resulted in this budget underspend.				
Boarding Of Stray Dogs Costs associated with the boarding of stray dogs in 2017/18 were less than had been anticipated.	14,000	6,400	(7,600)	(54.3)

#### **COMMUNITY SAFETY**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	
	£	£	£	%
Central Support Recharges				
Communities Team	62,700	111,300	48,600	77.5
Private Sector Housing	28,400	22,900	(5,500)	(19.4)
Private Sector Housing Renewal	41,000	119,500	78,500	191.5
Public Protection	3,300	28,000	24,700	748.5
CCTV	64,500	16,200	(48,300)	(74.9)
Licensing	42,500	72,300	29,800	70.1
Environmental Health	124,900	116,200	(8,700)	(7.0)
Neighbourhood Wardens	33,200	18,200	(15,000)	(45.2)
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

#### HEALTH SUMMARY

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	
	£	£	£	%
Community Facilities	24,250	33,819	9,569	39.5
Chilwell Community Centre	2,300			188.1
Montrose Court	0	1,312		
Grants & Loans To Voluntary Organisation	209,350			
Election Expenses	500			
Register of Electors	216,500			
Other Elections	29,800			1.0
Leisure & Culture	2,214,250	1,947,594	(266,656)	(12.0)
Total Health	2,696,950	2,242,946	(454,004)	(16.8)

#### VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME AND EXPENDITURE 2017/18

#### <u>HEALTH</u>

Cost Centre	Revised Estimate	Actual	Variation	
	2017/18 £	2017/18 £	£	%
Grants and Loans to Voluntary Organisations Grants There was a lower demand for grants to voluntary organisations in 2017/18 than had been anticipated. As agreed by Policy and Performance Committee on 17 April 2018, the Finance and Resources Committee will be asked on 12 July 2018 to approve the carry forward of £10,000 into 2018/19 to contribute to work on a World War 1 memorial on Victoria Embankment in Nottingham.	163,950			(8.8)
Election Expenses Election Expenses The reimbursement of election costs exceeded the amount of expenditure charged to this heading.	500	(11,141)	(11,641)	(2,328.2)
Register of Electors  Miscellaneous Expenses  Additional costs in respect of the 2017 Canvas were incurred for which no specific budget allocation was made.	0	13,156	13,156	
Postages  Postage costs for 2017/18 were significantly lower than the £54,350 incurred in 2016/17.	45,800	17,457	(28,343)	(61.9)
Govt Grant - Individual Electoral Reg An IER grant of £87,850 was received in 2016/17 and carried forward into 2017/18 with an additional £19,600 was received in 2017/18. No budget was set up in respect of this income	0	(107,454)	(107,454)	
Leisure & Culture Insurance Premium These costs relate the to insurance of the Council's interest in the buildings and equipment operated by Liberty Leisure. The budget for this was within other headings in 2017/18 but has been aligned with the expenditure from 2018/19 onwards.	0	41,180	41,180	

## <u>HEALTH</u>

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variat	ion
	£	£	£	%
Leisure & Culture (cont'd) Third Party Payments The 2017/18 management fee paid to Liberty Leisure was lower than had been expected when the budget for the year was set.	1,212,350	1,160,500	(51,850)	(4.3)
Central Support Recharges Community Facilities Register of Electors Leisure & Culture	7,900 100,050 346,850	76,666		144.3 (23.4) (72.2)
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

## **REVENUES, BENEFITS AND CUSTOMER SERVICES**

## **SUMMARY**

<u>Cost Centre</u>	Revised Estimate 2017/18	Actual 2017/18	Variatio	
	£	£	£	%
Customer First (CRM)	(33,900)	0	33,900	(100)
Cost of Collection	481,400	374,361	(107,039)	(22)
Benefits	16,500	484,459	467,959	2,836
Total Revenues, Benefits & Customer Services	464,000	858,820	394,820	85.1

## VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME AND EXPENDITURE 2017/18

## **REVENUES, BENEFITS AND CUSTOMER SERVICES**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18 £	Variati £	on %
<u>Customer First</u> Salaries	544,600	486,917	(57,683)	(10.6)
A higher than anticipated number of vacancies during 2017/18 has resulted in this budget underspend.	011,000	100,017	(61,666)	(10.0)
Cost of Collection Salaries A higher than anticipated number of vacancies during	256,350	220,729	(35,621)	(13.9)
2017/18 has resulted in this budget underspend.				
Printing and Stationery Some additional stationary was purchased into 2017/18 that will be used in 2018/19 and should result in an underspend in that year.	20,000	26,103	6,103	30.5
Court Costs Recovered Court Costs The additional court costs incurred on the collection of council tax and NNDR were more than offset by extra income received in recovering such costs.	50,000 (200,000)	70,813 (226,114)		41.6 13.1
Cash Collection Cash collection costs fell significantly when the cash offices closed in March 2016 and this has been reflected in the 2018/19 budget.	11,000	4,981	(6,019)	(54.7)
Insurance - Tenants - Mortgages The insurance costs in 2017/18 were less than had been assumed when the budget was set but this was largely offset by a similar shortfall on income received.	46,000	40,116	(5,884)	(12.8)
Council Tax Benefits These costs are now included within Benefits. This has been reflected in the 2018/19 budget.	124,000	0	(124,000)	(100.0)
Cost of Collection - Rents Salaries & Agency Workload pressures in 2017/18 resulted in a requirement for additional agency staff.	164,200	176,275	12,075	7.4

## REVENUES, BENEFITS AND CUSTOMER SERVICES

<u>Cost Centre</u>	Revised Estimate 2017/18	Actual 2017/18 £	Variation £	on %
Benefits Redundancy Costs These costs relate to two redundancies agreed at Policy and Performance Committee on 3 October 2017 and 17 April 2018. Both were initially approved under emergency powers by the Chief Executive.	0	9,644	9,644	70
Rent Allowance Benefits Rent Rebates Subsidies- Rent and Benefits Total The actual housing benefit and DHP subsidy receivable was less than had been anticipated when the budget was set and largely offsets the underspends on Rent Allowances and Rent Rebates.		11,896,226 8,556,014 (20,850,996) (398,756)	, , ,	(8.9) (6.5) (8.9)
Professional Fees Policy and Performance Committee on 18 January 2017 agreed to allocate £10,000 in the 2017/18 budget towards project support costs for the proposal to integrate the revenues and benefits function with that of Erewash BC. This project has not proceeded as originally intended.		1,950	(8,050)	(80.5)
Write offs in year This expenditure refers to the write off of a number of invoices for housing benefit overpayments for which no budget provision was made.	0	9,923	9,923	
Central Support Recharges Customer First Benefits	(590,800) 169,250	(494,400) 367,711	96,400 198,461	(16.3) 117.3
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

## **SUMMARY**

	Revised	A - 1 1		
Cook Cooking	Estimate	Actual	Variati	on
<u>Cost Centre</u>	2017/18	2017/18		
	£	£	£	%
Human Resources	4,450	0	(4,450)	(100.0)
Deputy Chief Executive	118,900	0	(118,900)	(100.0)
Director of Legal	90,400	0	(90,400)	(100.0)
Legal Services	(89,600)	0	89,600	(100.0)
Administrative Services	19,067	0	(19,067)	(100.0)
Print Room	15,250	0	(15,250)	(100.0)
Land Charges	(34,500)	(6,701)	27,799	(80.6)
Support Services	900	Ó	(900)	(100.0)
Post Room	10,350	0	(10,350)	(100.0)
Tea & Vending	8,600	2,100	(6,500)	(75.6)
Finance Department - Management	(116,250)	0	116,250	, ,
Finance Department - Audit	¥,150	0	(4,150)	(100.0)
Finance Department - Accountancy	19,100	0	(19,100)	(100.0)
Commercial Finance	750	0	(750)	(100.0)
Finance Department - Creditors	300	0	(300)	(100.0)
Debtors	750	0	(750)	(100.0)
Mediation	55,650	69,055	13,405	24.1
Miscellaneous	(1,536,150)	(2,096,454)	(560,304)	36.5
Chief Executive's Office	1,900	(=,000,101)	(1,900)	(100.0)
Corporate Communications	5,400	0	(5,400)	(100.0)
Beeston Square	(317,150)	(266,155)	50,995	(16.1)
Beeston Square Service Charge Account	14,000	(200,100)	(14,000)	(100.0)
Bramcote Crematorium	(280,000)	(280,000)	0	0.0
Grant Aid to Parishes/Town Councils	40,600	46,836	6,236	15.4
Members Expenses	294,050	277,714	(16,336)	(5.6)
Civic Affairs	193,800	107,433	(86,367)	(44.6)
Departmental Representation & Management	525,800	438,982	(86,818)	(16.5)
DRM Recharge	(94,500)	(172,007)	(77,507)	82.0
External Audit & Best Value	60,000	96,092	36,092	60.2
Treasury Management & Banking	203,650	158,619	(45,031)	(22.1)
Corporate Management - Administration	282,100	792,479	510,379	180.9
Corporate Management - Housing Revenue A	(190,100)	(292,292)	(102,192)	53.8
Central Overheads	50,750	107,777	57,027	
Security of Public Buildings	200	0	(200)	(100.0)
Council Offices	55,750	0	(55,750)	(100.0)
Town Hall	150	0	(150)	(100.0)
Cavendish Lodge Complex	(5,150)	(9,569)	(4,419)	85.8
14 Devonshire Avenue	(0,100)	(3,303)	(4,413)	00.0
Stapleford Cash Office	150	0	(150)	(100.0)
Eastwood Cash Office	100	275	175	175.0
General Properties & Land	158,600	45,828	(112,772)	(71.1)
Stapleford House	(250)	8,287	8,537	(3,414.7)
Health & Safety	900	0,207	(900)	(100.0)
Total Resources	(427,133)	(971,699)	(544,566)	127.5

# <u>VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME</u> <u>AND EXPENDITURE 2017/18</u>

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variat	on
	2017/16 £	2017/16 £	£	%
Human Resources Course and Examination Fees				
Examination on course and examination fees in 2017/18 was significantly below the budget for the year and the expenditure of £55,600 incurred in 2016/17.	58,000	39,700	(18,300)	(31.6)
Employee Occupational Health The use of the Occupational Health service in 2017/18 was lower than had been anticipated.	28,800	21,900	(6,900)	(24.0)
Mediation Redundancy costs This cost relates to a voluntary redundancy approved at Policy and Performance Committee on 17 April 2018.	0	13,700	13,700	
Director of Legal Salaries This overspend is caused by the final settlement for and other costs associated the former Director of Legal and Planning Services as agreed at the Policy and Performance Committee on 6 February 2018.	90,400	143,144	52,744	58.3
Legal Services Salaries This arose due to a requirement for additional agency staff to cover for maternity absence and due to more staff being members of the Local Government Pension Scheme than had been anticipated.	183,550	210,362	26,812	14.6
Counsel Fees This underspend is due to the completion of work in house that otherwise would have required external counsel to be employed.	29,200	5,087	(24,113)	(82.6)
Constitution Health Check This budget for review of the Constitution was carried forward from 2016/17. However, after feedback from the external investigation, a more in depth review was required and this led to an overspend. A budget of £2,000 has been established for this in 2018/19 to meet further costs.	3,700	12,969	9,269	250.5

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variati	on
	2017/18 £	2017/18 £	£	%
Legal (cont'd) Miscellaneous Expenses Fewer miscellaneous costs were incurred in 2017/18 compared with previous years. This has been reflected in the 2018/19 budget.	17,000	5,543	(11,457)	(67.4)
Income Income received in 2017/18 was below both the budget and the sum received in the previous year.	(35,000)	(20,891)	14,109	(40.3)
Land Charges Land Charges Income Income received from land charges in 2017/18 was significantly lower than the £149,450 received in 2016/17 and reflects a decline in demand for the service.	(120,000)	(99,354)	20,646	(17.2)
Finance Department - Audit Salaries The primary factor for this underspend was the vacancy that arose after the departure of the Procurement Officer on 30 June 2017. The post remained vacant for the remainder of the financial year.	238,750	190,211	(48,539)	(20.3)
Miscellaneous Resources Apprenticeship Levy No budget was provided for the Apprenticeship Levy that came into effect on 1 April 2017. This has been reflected in the 2018/19 budget	0	36,874	36,874	
Consultancy Fees This expenditure relates to costs incurred in 2017/18 on the external investigation.	0	145,753	145,753	
Miscellaneous Expenses An unexpected one off credit of £14,300 from the Performing Rights Society has offset what would have been an overspend on this heading.	1,000	(4,737)	(5,737)	(573.7)
Third Party Payments These costs relate to payments made to Rushcliffe B.C. for the secondment of an Interim Strategic Director as reported to Policy and Performance Committee on 3 October 2017.	0	59,567	59,567	
Capital Charges and Capital Charges Reversals These variances reflect the actual level of capital expenditure incurred in 2017/18 on specific schemes as compared with the capital programme, Contra entries within the other priority areas result in no overall effect on the Council's net expenditure.	(2,773,150)	(2,507,589)	265,561	(9.6)

<u>Cost Centre</u>	Revised Estimate	Actual	Variati	on
	2017/18 £	2017/18 £	£	%
Minimum Revenue Provision (MRP) A review of the Council's MRP arrangements identified an overprovision of £934,100 in respect of MRP charged from 2008/09 to 2016/17 in respect of capital expenditure incurred prior April 2008. This, in addition to a move to an annuity based as opposed to equal life approach to MRP in accordance with the Council's MRP Policy, has resulted in a significant underspend in 2017/18.	902,300	(182,793)	(1,085,093)	
Other Income Other income has been significantly more than was expected when the budget for 2017/18 was set. This includes a one-off £23,600 credit in respect of the charge made to Beeston Allotments in respect of the outstanding debt relating to the 2010 works at the Borehole.	(8,000)	(54,786)	(46,786)	
Corporate Communications Employee costs A higher than anticipated number of vacancies during 2017/18 has resulted in this budget underspend.	159,000	146,800	(12,200)	(7.7)
Beeston Square				
Commercial Use Beeston Square There has been more income in 2017/18 from commercial use of Beeston Square than had been anticipated. This has been reflected in the 2018/19 budget.	(4,000)	(10,116)	(6,116)	152.9
Rent Vacancies in some of the units during 2017/18 meant that the rent income budget for the year was not achieved.	(650,000)	(636,838)	13,162	(2.0)

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variati	on
	2017/16 £	2017/18 £	£	%
Beeston Square (cont'd)  Management Fee Recharge The management fee recharge was smaller than anticipated due to a combination of vacant units for part of the year and adjustments to the accounting arrangements for the service charge payments from tenants following the purchase of the Beeston Square lease in May 2016. This has been reflected in the 2018/19 budget.	(65,000)	(23,610)	41,390	(63.7)
Members Expenses  Members Allowances The budget for members allowances has been unchanged for a number of years and not adjusted to reflect the move to the committee system model of governance from May 2016. This will be reflected in the 2018/19 budget.	263,500	250,550	(12,950)	(4.9)
<u>Civic Affairs</u> <u>Chauffeur Services</u>				
The cost of chauffeur services in 2017/18 was significantly less than the costs of £18,200 and £19,400 incurred in 2016/17 and 2015/16 respectively.	25,000	14,610	(10,390)	(41.6)
General Properties & Land  Agency Staff The Finance and Resources Committee on 13 July 2017 agreed to allocate £50,000 to procure project management support for the Beeston Square Phase 2 development. This was not utilised in full during 2017/18 and the Finance and Resources Committee on 12 July 2018 will be asked to carry forward the remaining £14,650 into 2018/19 to fund the continuation of this work.	50,000	35,357	(14,643)	(29.3)
Repairs and Maintenance The requirement for repairs and maintenance in 2017/18 was lower than anticipated and expenditure incurred was similar to that of £12,900 incurred in 2016/17.	25,300	10,163	(15,137)	(59.8)
<u>NNDR</u>	22,250	4,406	(17,844)	(80.2)
No invoice was received for the 2017/18 NNDR charge for Durban House in Eastwood. It is anticipated that this will be received in 2018/19. The Finance and Resources Committee on 12 July 2018 will be asked to carry forward £17,850 into 2018/19 to meet the cost of any outstanding NNDR charges.				

Cost Centre	Revised Estimate	Actual	Variat	ion
	2017/18 £	2017/18 £	£	%
General Properties & Land (cont'd) Professional Fees The costs relate to valuations by specialist advisors of properties such as Beeston Town Hall and the former Stapleford Police Station for which no budget provision was made in 2017/18.	0	8,950	8,950	
Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry elsewhere within the Resources portfolio results in no effect overall in the Council's net expenditure	59,550	46,871	(12,679)	(21.3)
Rent The additional income relates primarily to the £35,000 annual rent from the beautician occupying Durban House in Eastwood.	(92,850)	(124,289)	(31,439)	33.9
Town Hall Electricity	28,200	22,260	(5,940)	(21.1)
Electricity charges were lower than anticipated in 2017/18 and reflect the reduced use of the building.				
Capital Charges The variance in capital charges reflects the actual level of capital expenditure incurred in 2017/18 as compared with the capital programme. A contra entry elsewhere within the Resources portfolio results in no effect overall in the Council's net expenditure	12,550	7,343	(5,207)	(41.5)
Health and Safety Employee Costs Cabinet agreed on 5 January 2016 to introduce new arrangements for out of hours emergency response. It was not known at the time where the additional costs would be incurred. This has been reflected in the 2018/19 budget.	67,500	78,800	11,300	16.7

Cost Centre	Revised Estimate 2017/18 £	Actual 2017/18 £	Variati £	on %
Central Support Recharges	£	£	£	/0
Director of Legal Legal Services Civic Affairs Democratic Representation & Management Council Offices Health and Safety	0 72,400 151,500 525,800 (205,950) 9,000	438,982	17,886 (70,200)	24.7 (46.3) (16.5) 31.6
Central Support Recharges represents the cost of employees directly providing the service (including overheads) who are recharged from the directorate budget plus the cost of support departments. Variances represent the difference between budgeted and actual time worked and differences in directorate expenditure totals.				

## **ICT & BUSINESS TRANSFORMATION**

## **SUMMARY**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variati	
Information & Computer Technology ICT Business Transformation	£ 17,300 18,050	£ 0 0	£ (17,300) (18,050)	(100) (100)
Total ICT Services	35,350	0	(35,350)	0

# <u>VARIATIONS BETWEEN ACTUAL AND ESTIMATED INCOME</u> <u>AND EXPENDITURE 2017/18</u>

## **ICT & BUSINESS TRANSFORMATION**

Cost Centre	Revised Estimate 2017/18	Actual 2017/18	Variation	
	2017/18 £	2017/18 £	£	%
Information & Computer Technology Employee Costs	360,900	319,600	(41,300)	(11)
A higher than anticipated number of vacancies during 2017/18 has resulted in this budget underspend. This includes expenditure of £54,250 on agency staff.				
Telephone / Broadband System This overspend arose as a result of additional contracts and the payment of invoices relating to previous financial years that had been in dispute.	87,000	110,900	23,900	27
Hardware Maintenance Costs of £16,000 that will relate to future years were charged to 2018/19 to align with when these services will be required. There was also a significant reduction of approximately £14,000 in the requirement for responsive maintenance than had been initially anticipated.	98,000	67,800	(30,200)	(31)
Software Maintenance  There was a reduction of approximately £20,000 in the requirement for responsive maintenance than had been initially anticipated. In addition, the 2017/18 budget included £20,000 for the increase in Microsoft Licencing fees that will not now come into effect until 2018/19 and for which has provision has already been made in the 2018/19 budget.  Cabinet on 15 December 2015 approved the delivery of the Building Control Service through Erewash Borough Council. Whilst these arrangements have been live for some time, there is still a remaining requirement for the key ICT systems of each authority to exchange information electronically and a budget of £25,000 was allocated for this. This work was delayed for reasons outside the control of the Broxtowe ICT service but has now commenced. The Finance and Resources Committee on 12 July 2018 will be asked to approve the carry forward into 2018/19 of £25,000 to meet the cost of completing this work.	504,200	433,700	(70,500)	(14)

#### **Report of the Chief Executive**

### **ANNUAL REVIEW OF THE CORPORATE PLAN 2016-2020**

#### 1. Purpose of the report

To invite councillors to consider whether any adjustment is required to the Corporate Plan priorities, objectives and targets in the light of the experience of the second year of implementation in 2017/18.

It is not the intention to this report to repeat the performance reports which are presented quarterly to the Committee. The out turn of the previous years' business and financial plans are reported as a separate agenda item.

#### 2. Details

Appendix 1 to the report sets out the Council's current priorities and objectives. Appendix 2 presents a summary of the main achievements in the 2017/18 year. Delivery of the priorities and objectives for 2018/19 through previously agreed business plans is well under way.

The Council has maintained as its priorities the issues which matter most to local people, as evidenced by a consultation exercise conducted at the outset of the plan period. The second year of the plan has seen progress in relation to all the priority areas, which continues to demonstrate that the setting of the priorities has been helpful in providing a focus of attention and impetus.

The advantage of maintaining stability in relation to the existing Priorities and Objectives is that there is still much work to be done to further increase housing growth, deliver on the Beeston town centre regeneration proposals, increase economic growth, deliver the aspirations of the Green Infrastructure Policy, and continue to reduce domestic violence and anti-social behaviour.

#### Recommendation

The Committee is invited to CONSIDER the report and RESOLVE that the Corporate Plan 2016-20 Priorities and Objectives be maintained or amend them accordingly.

#### **Background papers**

**APPENDIX 1** 

#### Vision

Broxtowe, a great place where people enjoy living, working and spending leisure time.

#### Housing

#### **Objectives**

- Increase the rate of house building on brownfield sites
- Become an excellent housing provider
- Improve the quality and availability of the private sector stock to meet local housing need.

#### **Community Safety**

#### **Objectives**

- Reduce the amount of anti-social behaviour in Broxtowe Borough Council
- reduce domestic violence in Broxtowe.

#### **Business Growth**

#### **Objectives**

- Increase the number of new businesses starting in Broxtowe Borough Council help our town centres to compete and attract more visitors
- Complete the regeneration of Beeston town Centre and seek opportunities to regenerate town centres throughout Broxtowe.

#### **Environment**

#### **Objectives**

- Reduce litter and fly tipping to make Broxtowe cleaner
- Maintain and improve the green infrastructure of Broxtowe
- Increase recycling, composting and energy efficiency projects as resources allow.

#### Health

#### **Objectives**

- Increase the number of people who have active lifestyles
- Work with partners to improve the health of the local population
- Reduce alcohol related harm in Broxtowe.

**APPENDIX 2** 

These are some of the main positive achievements in delivery of the 17/18 Corporate Plan:

#### Housing

- **1,098 new homes** have been given planning permission with a further 324 built in 2017 2018 the highest number since 2008.
- Council houses continued to be well maintained at above the decent homes level: modernization works included: 120 new kitchens installed and 58 had new bathrooms, 246 properties had external wall insulation, 85 properties had new roof coverings, and 48 properties had new heating systems installed for Council tenants.
- An extra £65,000 was allocated to help people with long term health conditions keep their homes warm and insulated.
- 333 people were prevented from becoming homeless or had their homelessness relieved in 2017/2018.
- Progress was made on Neighbourhood Plans with 10 designated and 1 submitted so far.
- Satisfaction with the Council as landlord remained top quartile an 88% satisfaction rate with the Housing Service.
- Rent arrears reduced by 13.64% when comparing April 2017 and April 2018

#### **Business Growth**

- Work is progressing on provision of a **new car park** near Beeston Station.
- Free Wi-Fi was introduced in Stapleford Town Centre.
- Over £645,000 rental income received in 2017/18 following the purchase of the Beeston Square lease, and significant progress made on the regeneration of the town centre.
- Free health checks were provided for businesses in the Borough, job fairs
  and a jobs club in Eastwood have supported numerous people and local
  businesses.

#### **Environment**

- A **13.57% reduction in fly tipping** was achieved (following a 16% reduction in the previous year) a result of our successful litter and fly tipping action plan.
- Over £600,000 much needed income was generated from the increasingly successful garden waste service and 21.64 fewer kilos of waste per head of population were collected in 17/18 compared with the previous year. Recycling and composting increased by 1.5% to 41.75%
- 4 community litter picks took place and over 500 new trees were planted across various parks and open spaces.
- **51%** of the Council's green space is Local Nature Reserve the highest in Nottinghamshire.
- Improvements to parks and open spaces were made including new Play Areas at Smithurst Road Open Space, Giltbrook and Broadgate Park,

Beeston together with footpath surfacing and habitat improvements at Banks Road Open Space, Toton, and Hall om Wong Open Space, Kimberley and a £500,000 agreed for further improvements to parks and open spaces over the next two years.

### **Community Safety**

- 44 drop in and information sessions in Eastwood were provided
- Better regulation of street trading in Beeston was introduced
- White Ribbon accreditation was gained for work to prevent domestic violence
- Public Spaces Protection Orders to tackle anti-social behaviour including drinking alcohol in public places were confirmed in Beeston, Eastwood, Stapleford, Kimberley, and Manor Park in Toton, and measures taken to tackle car cruising at Chilwell Retail Park.
- 12 car parks were awarded 'Park Mark' status.

#### Health

- New technology was introduced to help leisure centre members track, log, and reach individual health and fitness goals and book classes.
- A new Spa was created at Bramcote Leisure Centre and in 2017/18 the Council's wholly owned company achieved a pre-tax surplus of £0.226m
- 3,372 children are booked onto weekly swim lessons and 29,247 more people attended leisure facilities during the year than in the previous year
- A stop smoking clinic at the Council Offices was set up and the Council delivered Alcohol and Neuro-Psychoactive Substance Brief Intervention Training workshops to partners.
- A new Broxtowe Learning Disability Network was created.
- A **breastfeeding scheme** was introduced in Broxtowe to improve the number breastfeeding friendly venues

#### In addition there were improvements in corporate performance in 17/18, including

- Council Tax collection rates have continued to improve. Over the last two years there was an improvement from 98.40% (2015/16) to 98.54% (2017/18)
- NNDR collection was, at the end of 17/18, at its highest rate ever of 98.76%
- Benefits processing times have significantly improved with a reduction from 21 days to 12.6 days over a three year period in New Claims. Change in Circumstances processing has also improved from 7 to 5 days in the same period.
- 100% of food safety inspections were completed in the year, a significant improvement on the previous year's performance

#### **Report of the Deputy Chief Executive**

#### CARE LEAVERS' COUNCIL TAX REDUCTION SCHEME

## 1. Purpose of report

To request approval to implement a Council Tax Reduction Scheme to assist care leavers, as set out in the appendix.

#### 2. Background

The Council has the discretion to reduce the council tax liability for individuals or prescribed groups as it thinks fit. This discretion is exercised in accordance with section 13A(1)(c) of the Local Government Finance Act 1992.

The proposed scheme is in addition to the Council's Local Council Tax Support Scheme (LCTSS) and will provide assistance to people living within the borough who have previously been in care and meet the appropriate qualifying criteria, as detailed in the appendix.

The proposed Care Leave Reduction Scheme will only be applied after all other relevant discounts and exemptions. It is anticipated that most care leavers will already be receiving assistance through the Council's LCTSS, which grants a reduction to council tax payers based on an assessment of their means to pay. Where the qualifying criteria is met and all discounts and exemptions, including LCTSS, do not cover the full Council Tax charge, then under the proposed scheme the Council Tax payer could receive assistance up to 100% of their charge. Guidelines are provided in the appendix of the report.

#### 3. Financial implications

The financial implications of the Care Leavers' reduction scheme can be found in appendix 2 of the report.

#### Recommendations

The Committee is asked to:

- 1. RESOLVE that the implementation of the Care Leavers Council Tax Reduction Scheme be adopted.
- 2. RESOLVE that the Head of Revenues and Benefits be delegated the authority to decide upon the award of Care Leavers' Council Tax Reduction Scheme.
- 3. RECOMMEND to the Finance and Resources Committee that a supplementary capital estimate of £5,700 for software to administer the Care Leavers' Council Tax Reduction Scheme be approved with funding from 2018/19 capital contingencies

### Background papers

#### **APPENDIX 1**



## Policy Guidelines Council Tax Care Leavers' Reduction Scheme

Date: May 2018

Prepared by: Phil Sudlow - Head of

**Revenues and Benefits** 

**Managed Service** 

#### 1. Introduction

Broxtowe Borough has the discretion to reduce the council tax of any such persons as it sees fit. This discretion is allowed by section 13A(1)(c) of the Local Government Finance Act 1992.

The Council has determined that it will provide a reduction in council tax to those persons liable to pay council tax within the Borough who are defined as care leavers. Providing this support will help care leavers manage the social and financial transition from local authority care to independent living.

#### 2. Delegation

The authority to determine applications for council tax reduction for care leavers is delegated to the Head of Revenues and Benefits.

Each request for relief will be considered on its own merits.

### 3. Who is eligible for council tax reduction?

For the purposes of this guidance, a care leaver is defined as a person aged between 16 and 25, who is resident in the Borough with a council tax liability and:

- i. has been in the care of a local authority for a period, or cumulative periods equalling at least 13 weeks since the age of 14 and which ended on or after their 16th birthday, or;
- ii. is aged between 16 and 21 and with respect to whom a guardianship order is in force (or was in force on their 18th birthday) and was looked after immediately before the making of that order, or:
- iii. at any time after their 16th birthday but before their 18th birthday, was, but no longer is, looked after, accommodated or fostered.

This definition incorporates the statutory definitions of "former relevant child" and "qualifying care leaver" as defined in the Children Act 1989.

#### 4. How will council tax reduction be applied?

The council tax reduction will take effect from 1st April 2018. Care leavers who become responsible for council tax after this date will be granted a reduction from the date their council tax liability begins.

Care leavers who are liable for council tax on 1st April 2018 will be granted a reduction from 1st April 2018.

The reduction will be awarded after all other relevant discounts, reductions and exemptions to the council tax liability have been awarded.

Where the reduction is awarded, it will remain in place until the care leaver reaches the age of 25 years (the care leaver's 25th birthday) or ceases to be liable for the council tax, whichever date occurs first. In these circumstances, the bill will be apportioned.

Where a reduction has been awarded, a council tax bill will be issued showing the detail of the reduction. If a request for reduction is refused, a letter will be issued detailing the reasons for the refusal.

#### 5. How much council tax reduction will be applied?

Where a care leaver has a liability for council tax, the reduction in that liability will be up to 100%.

The amount of reduction awarded will be the relevant amount (after all other discounts, reductions and exemptions) required to reduce the care leaver's council tax liability amount to zero.

If, subsequent to an award, the care leaver's liability for council tax reduces during the period of the award, for example if the care leaver becomes entitled to a single person discount, the care leaver's reduction will be amended to ensure the award does not exceed the care leaver's council tax liability for the period.

Where there is a shared liability for council tax, the reduction will only be paid to cover the share for which the care leaver would be liable.

#### 6. Right of appeal

Under section 16 of the Local Government Finance Act 1992, a person applying for a reduction in council tax but disagrees with the decision of the Council may appeal the decision.

This appeal in the first instance should be made to the Council's Revenues Team. If after this the person making the request for reduction is still not satisfied, they may then make an appeal to the Valuation Tribunal for England (VTE).

The VTE is an independent body which adjudicates between taxpayers and the Council. Appeals to the VTE must be made directly to the VTE.

#### **APPENDIX 2**

#### **Financial Implications**

The Council does not currently have the software to administer such a reduction in Council Tax. The additional software is £5,700 plus on-going maintenance of £1,100 per annum. The cost of the additional software can be met from 2018/19 capital contingencies of which £38,000 is presently available. The on-going maintenance costs will be met from the ICT software maintenance revenue budget.

Although the Council is aware that there are currently 43 care leavers living within the borough, it is not fully aware of the demographic of these individuals and how many of these are currently receiving Council Tax Support. Based on a situation where all 43 required additional support through the care levers' reduction scheme, then there would be a reduction of approximately £50,000 per annum in collection of Council Tax. Based upon the 2018/19 precepts, the Broxtowe Borough Council share of this would be approximately £4,350 (or 8.7%) with the other precepting authorities (Nottinghamshire County Council, Nottinghamshire Police and Crime Commissioner and Nottinghamshire Fire Authority) meeting approximately £45,650 (or 91.3%)

# BROXTOWE LOTTO - DELEGATION OF AUTHORITY TO APPROVE GOOD CAUSES

#### 1. Purpose of report

To ask the Committee to recommend to Council that delegated authority be given to the Commercial Manager to approve 'good causes' which wish to participate in the Broxtowe Lotto.

#### 2. Background information

On the 15 February 2018 the Council's Finance and Resources Committee agreed to establish a local lottery, now known as the Broxtowe Lotto. To date, the Broxtowe Lotto has:

- received its Licence number from the Gambling Commission
- had the criteria for participation by good causes agreed
- released a press release encouraging good causes to participate.

Currently, preparations are underway for a promotional launch on 18 July 2018 at which good causes will sign up to the Lotto. In other lotteries ran by local authorities, good causes apply to participate in the Lotto via e-mail and once they have proved that they meet the criteria, their details are passed onto Gatherwell, the external Lottery Managers who then create a webpage for each individual good cause.

The Commercial Manager is the only person whom the Gambling Commission recognises as a "qualified person" within the Council and all contact with the Gambling Commission must go through the Commercial Manager. For that reason and for purposes of a quick turnaround, it is proposed that the Commercial Manager is responsible for identifying which good causes meet Broxtowe's criteria for inclusion in the Lotto. Other options which have been considered are set out in appendix 1.

Good causes which wish to apply will express their interest to the Commercial Manager via e mail or telephone. They will then be sent a short note outlining what information they need to provide (as per appendix 2) and can submit their evidence via e mail or post. If they meet the criteria (as per appendix 3) for participation in Broxtowe's Lotto, their names will then be passed to Gatherwell (the external Lottery Manager) who will develop their individual webpage.

#### 3. Financial implications

There are no costs associated with this strand of the Lotto, other than the Commercial Manager's time. Aylesbury Vale who were the first Council to launch a Lottery estimate that their officer spends 1 day per year on work for the Lotto.

#### Recommendation

That the Committee RECOMMENDS to Council that authority be delegated to the Commercial Manager, in consultation with the three group leaders, to approve good causes which wish to participate in the Broxtowe Lotto.

Background papers: Nil

**APPENDIX 1** 

#### Alternative options considered

#### Do Nothing:

This is not an option as good causes needed to be authorised before their details can be forwarded to Gatherwell for inclusion in the Lotto.

Enable authorisation of good causes by other officers within the Council:

As the Council's Commercial Manager is a 'qualified person' registered with the Gambling Commission it will be for her to deal with the administration of the Lotto. However, the Commercial Manager does not currently have the required delegated authority to do this and will not be able to until authorised by Council at the next meeting on 18th July 2018. As there have already been several applications made by organisations which need to be processed/approved this will have to be authorised by the Chief Executive (under her emergency powers) until the 18 July 2018 (plus any subsequent applications made from now to then). After the 18th July 2018 (subject to full Council's approval) the Commercial Manager will be able to process/approve all such applications.

Foster Avenue

Beeston NG9 1AB

## **APPENDIX 2**

## **Application to participate in the Broxtowe Lotto**

Organisation name:
Registered address:
Charity number (if applicable):
Tell us how your project benefits the residents of Broxtowe:
Please attach the organisation's constitution or set of rules:
Please attach the most recent annual financial statements OR an annual report:
Please return all documentation to:
Sandra.scott@broxtowe.gov.uk
or if via post to:
Sandra Scott Commercial Manager Broxtowe Borough Council Council Offices

**APPENDIX 3** 

#### Criteria for Broxtowe Lotto's Good Causes

#### <u>Criteria</u>

- Organisations should be:
- non-profit making
- have a constitution or set of rules
- able to provide annual financial statements (audited where appropriate)
- or an annual report (unless it is a new organisation in its first year of development when a budget statement would be required).
- Organisations must be open to all regardless of age, race, creed, sex or political affiliation as appropriate.
- Organisations must be able to demonstrate a link with the borough, either through the
  direct provision of services or other means, which benefit the people of the borough
  thereby enhancing the quality of life for the local community.
- Organisations which wish to have a dedicated webpage on Broxtowe Lotto's site must be promoting projects or services which are of benefit to the local community.
- Organisations that promote political, racial, religious, sexual or social intolerance will not be considered for participation as their services will not be of positive benefit to all within the local community.

#### REVISION OF THE COUNCIL'S MAJOR EMERGENCY PLAN

#### 1. Purpose of report

To revise the existing Major Emergency Plan in order for the Council to respond effectively to a civil emergency.

#### 2. Detail

The Council's Major Emergency Plan is reviewed every three years to ensure it complies with organisational, technological and legislative changes. The plan supports the Council's ability to respond to emergency situations by providing clear guidance in respect of facilities, roles and responsibilities.

The plan supports other plans developed by the Nottingham and Nottinghamshire Local Resilience Forum (LRF), Nottinghamshire County Council and Nottingham City Council to assist in improving the resilience of the City and County.

#### 3. Legal requirement

The Civil Contingencies Act 2004 has elevated the Council to a Category 1 responder, the same level as the blue light services. The Act places 7 duties on local authorities, one of these duties is to plan for emergencies.

#### 4. Conclusion

The revised plan is circulated separately with the agenda. The position of the Council is to continually develop its commitment to emergency planning. This Major Emergency Plan has been revised with the main change resulting from organisational changes within the Council. It demonstrates the Council's continual commitment to protecting its employees and assisting residents and visitors to the borough during a major civil emergency.

#### Recommendation

The Committee is asked to RESOLVE that the revised Major Emergency Plan be approved.

#### Background papers

#### REVISION OF THE COUNCILLORS' EMERGENCY PLAN

## 1. Purpose of report

To revise the Councillors' Emergency Plan so that councillors are aware of the Council's responsibilities under the Civil Contingencies Act and the role they can play before, during, and after an incident/emergency.

### 2. Detail

Council involved The has been in а number of emergency incidents/emergencies or has been made aware of, and placed on standby for them. On many of these events the Council have informed and on occasions sought active involvement from councillors. This was particularly useful during the Bramcote water main explosion in October 2010, by not only dealing with the hunger from the media, but providing a vital interface with the communities they serve and being well placed to pass information to and from local people affected by the event.

#### 3. <u>Legal requirement</u>

The Civil Contingencies Act 2004 has elevated the Council to a Category 1 responder, the same level as the blue light services. The Act places 7 duties on local authorities, one of these duties is to plan a response to major civil emergencies.

#### 4. Conclusion

The position of the Council is to continually develop its commitment to emergency planning. This Councillors' Emergency Plan has been revised to give support so that they can play a vital role in a civil emergency incident. The main changes from the previous plan were to update the terminology used for the command structure for a multi-agency response. The revised plan is circulated separately with the agenda.

#### Recommendation

The Committee is asked to RESOLVE that the revised Councillors' Emergency Plan be approved.

Background papers

#### REVISION OF THE HEALTH AND SAFETY POLICY

#### 1. Purpose of report

To revise the existing Health and Safety Policy - the umbrella document that underpins all other Council safety policies and codes of practice.

#### 2. Detail

The Health and Safety Policy "Statement" specifies the binding commitment of the Council in that health and safety will rank as a prominent and permanent feature of all activities conducted. The statement is signed annually by the Chief Executive so that employees will recognise it as an authoritative document and will note the ongoing commitment.

The "Organisation" section specifies responsibilities for implementing the policy, starting with the Chief Executive and cascading down through every level of management, Health and Safety Manager, safety representatives, medical advisor and employees.

The "Arrangements" section states the objectives to be achieved on a range of topics such as work equipment, fire, first aid, etc.

The policy states that it will be reviewed every three years to ascertain if it is fit for purpose. In addition it will be revised to encompass any technological changes, managerial restructuring, alterations to premises and sites, and the introduction of new or modified processes.

#### 3. Legal requirement

Section 2(3) of the Health and Safety at Work, etc, Act 1974 states that "it shall be the duty of every employer to prepare (and as often as may be appropriate to revise) a written general policy statement with respect to the health and safety at work of employees. The policy should identify the organisation and arrangements for carrying out the policy, and the need to bring the statement to the notice of all employees".

#### 4. Conclusion

The position of the Council has been to continually develop its commitment to health and safety. By reviewing and revising the Health and Safety Policy the Council is demonstrating its continual commitment to ensuring the health, safety and welfare of its employees. The Policy Statement is attached in appendix 1 and the revised policy is circulated separately with the agenda.

#### Recommendation

The Committee is asked to RESOLVE that the revised Health and Safety Policy be approved.

Background papers



### **HEALTH AND SAFETY POLICY STATEMENT**

Broxtowe Borough Council, as an employer and landlord, is fully committed to the health, safety and welfare of all its Councillors, employees, visitors to its premises, occupiers and others who may be affected by its work activities. It is the Council's policy to endeavour to provide safe and healthy working conditions and to enlist the active support of all its Councillors and employees to achieve this end.

The objectives of the policy are to promote standards of health, safety, fire prevention, hygiene and welfare, which comply fully with the spirit and requirements of legislation. The Council undertakes, so far as is reasonably practicable, to:

- Maintain plant and systems of work that are safe and reduce the risk to health
- Ensure safe practices in connection with the use, handling, storage and transport of articles and substances
- Provide such information, instruction, training and supervision as is necessary to promote the health (including mental health) and safety of all Councillors and employees
- Maintain work places in a safe condition and provide a safe means of access to and egress from such work places
- Provide and maintain a safe working environment with minimal risks to health and with adequate facilities for employees' welfare at work
- Prevent accidents and causes of work related ill health

The Council's Health and Safety Policy, which includes the organisational responsibilities and arrangements is detailed in the Health and Safety Section on the Council's intranet. These will be reviewed regularly to take into consideration changes within the Council, legislation and technological advancement. The Safety Committee discusses workplace health and safety matters twice yearly.

Directors, Heads of Service, Managers and Supervisors will ensure compliance with all health and safety legislation including the Council's Health and Safety Policy and codes of practice.

Each Councillor and employee is reminded that they have a legal responsibility to take care of their own health and safety and also the health and safety of others who may be affected by actions or decisions made by them.

The Council gives its full backing to this policy and will support all those who endeavour to carry it out.

Signed:

Chief Executive





Date: 03 May 2018

#### Report of the Interim Strategic Director

### **COMMUNICATIONS AND ENGAGEMENT STRATEGY**

#### 1. Purpose of the report

To seek approval for the Council's new Communications and Engagement Strategy 2018-2021.

#### 2. Background

The Council's existing Communications, Consultation and Engagement Strategy has recently come to an end and was in need of a refresh. Following consultation with employees, members and other stakeholders, a new strategy has been drafted to address changing communications and engagement needs over the next three years.

The strategy outlines how communications and engagement activities will be managed so that the people in Broxtowe, our employees and our Members and other stakeholders are kept informed and have a clear understanding of what we do, why we do it and why we need to adapt to the changing context in which we are working.

A new set of objectives have been developed to support the strategy:

- 1. **Fit for the future** ensure that our communications are fit for future by continually adapting to new challenges and technologies.
- 2. **The responsibility of all** ensure that employees understand we all have a responsibility for communications and they have the tools to deliver it.
- 3. **One organisation, one voice** develop a clear and consistent brand and tone across the whole authority, including a set of principles for all communications (see below), both internal and external. Ensure that employees are clear on our shared vision, goals and objectives.
- 4. **Communicating our vision** ensure our stakeholders understand our vision, how we are going to achieve it and how we are going to serve the people in our borough.
- 5. **Two way communications** ensure we offer opportunities for two-way communications with stakeholders
- 6. **Measuring success** set out clear, outcomes based methods to benchmark and evaluate the success of the strategy.

The strategy is accompanied by an employee Communications Toolkit and help sheets and a rationalised Corporate Style Guide. These are circulated separately with the agenda.

#### 3. Financial implications

Any costs will be met within existing budgets.

### **Recommendation**

The Committee is asked to RESOLVE that the Communications and Engagement Strategy 2018-21 be approved.

Background papers: Equality Impact Assessment

Report of the Chief Executive

## INDEPENDENT REVIEW OF RETIREMENT LIVING SERVICE

#### 1. Purpose of report

To seek Committee approval to implement the recommendation of Housing Committee to develop a new approach to delivering the Retirement Living Service (RLS).

#### 2. Background

Following an independent review by HQN three potential models for future delivery of the current retirement living service were considered and following a Housing Committee decision in January 2018, subjected to consultation with residents. The Housing Committee considered the results of the consultation and unanimously supported the recommended option put forward in a report to the Committee on 6 June 2018. The link to the full report can be found here:

https://www.broxtowe.gov.uk/media/4782/housing-committee-agenda-6-june 2018.pdf

#### 3. <u>Detail</u>

New service overview:

- Retain the existing number of 22 FTE employees in post, (subject to two VR requests to be approved when information has been received from the Pensions Authority.). This is 8 more FTEs than was recommended in Option 1 of the HQN report and 17 more FTEs than was recommended in Option 2)
- Reduce the number of team leaders from three to two (subject to one VR request in due course.)
- Introduce 4 new specialist roles; 2 Activity Co-ordinators, 1 Lifeline Co-ordinator and 1 Facilities Co-ordinator (who will be based within Housing Repairs). These additional roles will allow a more consistent provision of activities for residents and enable Independent coordinator to have a greater focus on the support needs of residents
- Small caseload of approx. 67 enabling a focus on personal contact
- A personalised needs assessment and action plan which is flexible and tailored to the individual resident.

The existing and proposed staffing structures can be found in appendix 2. Job descriptions for the new roles have been subjected to job evaluation and the financial implications are based on the results. Employees and Unions were consulted and involved with the development of the new job descriptions and are supportive of the proposed changes.

#### 4. Financial implications

The financial implications are included at appendix 1.

#### Recommendation

The Committee is asked to RESOLVE that the proposed new Independent living structure set out in appendix 2 be approved.

#### Background papers

HQN report, Results of consultation.

#### **APPENDIX 1**

#### Financial implications

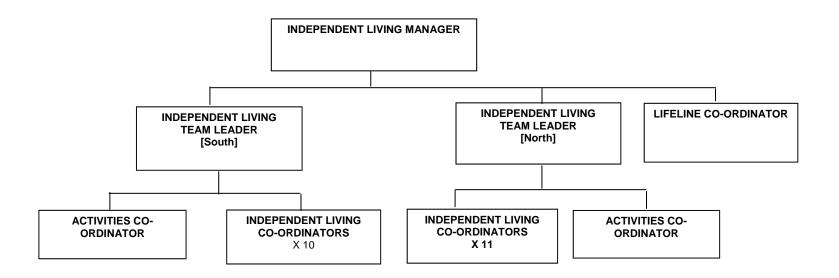
The pay and associated costs of the proposed ILS structure (at grade maximum) are estimated to be £710,816 per annum. When compared with the estimated costs of the present arrangements (again at grade maximum) of £915,067 this would produce a saving of £204,251 per annum.

These costs are based upon the grades shown and take no account of any one-off or other costs that may be necessary in the transition to the new structure.

Any agreed changes to the present Retirement Living Service structure would require appropriate changes to budgets.

## HOUSING & PROPERTY SERVICES DEPARTMENT HOUSING DIVISION — INDEPENDENT LIVING SERVICES PROPOSED STRUCTURE



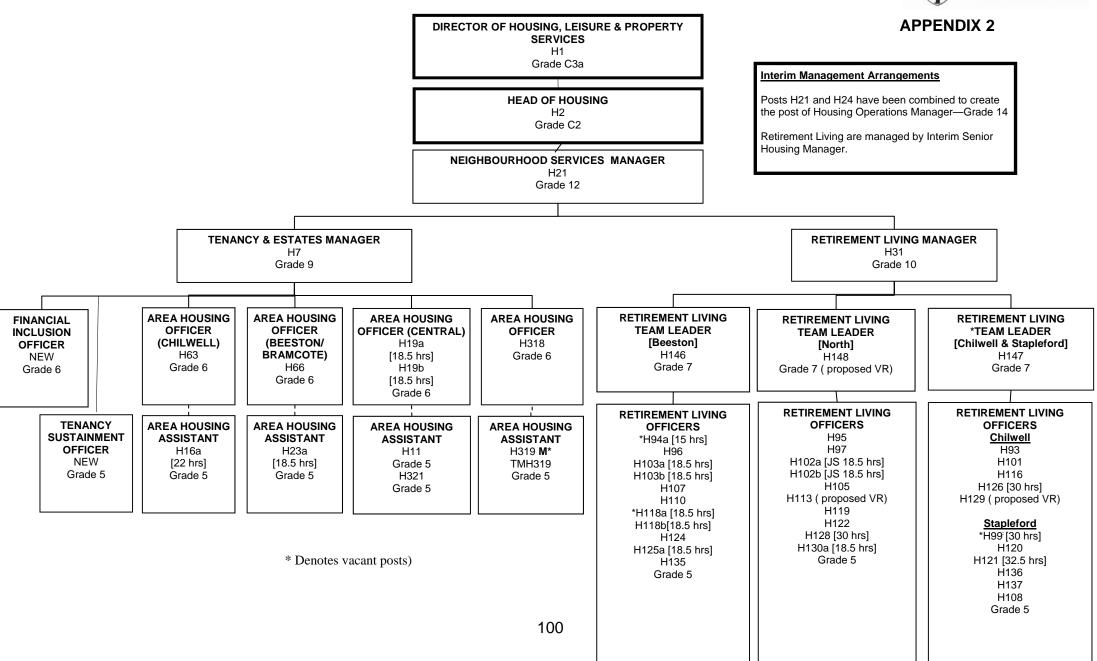


FACILITIES CO-ORDINATOR \*

<sup>\*</sup> This role will focus on managing the health and safety within the ILS schemes and will report within the Housing Repairs Team

## HOUSING & PROPERTY SERVICES DEPARTMENT HOUSING DIVISION — NEIGHBOURHOOD SERVICES EXISTING





#### **Report of the Chief Executive**

#### STAPLEFORD COMMUNITY CENTRE

#### 1. Purpose of report

Further to the February 2018 report, to provide an update on the current work towards creating a 'fit for purpose' community centre in Stapleford.

#### 2. Background

The current lease for Cliffe Hill Community Centre expires on 31 October 2018 and alternative options are being explored. This is due to the building having limited functionality, being of poor construction and uncertain longevity. Other existing community facilities in Stapleford at Ilkeston Road/Washington Drive are also underutilised and not fit for purpose in modern society.

#### 3. Options

Various options continue to be explored in order to ensure both suitable community facilities are provided in Stapleford and existing Council assets can be fully utilised. The Deputy Chief Executive and other senior offices have visited relevant sites across Stapleford. The next step is to meet with members from Stapleford to consult about the viability of the various options. A full business case will be required to determine a suitable way forward.

Further updates on work in this area will be provided as work progresses.

#### Recommendations

The Committee is asked to NOTE the report.

#### Background papers

## **Report of the Interim Strategic Director**

#### **WORK PROGRAMME**

#### 1. <u>Purpose of report</u>

To consider items for inclusion in the Work Programme for future meetings.

## 2. Background

Items which have already been suggested for inclusion in the Work Programme of future meetings are given below. Members are asked to consider any additional items that they may wish to see in the Programme.

#### 3. Work Programme

3 October 2018	<ul><li>Budget Consultation 2019/20</li><li>Business Rates Pool and Surplus</li></ul>
	Distribution
	<ul><li>Procurement and Commissioning Strategy</li><li>Apprenticeship Strategy</li></ul>
	Shared Services Annual Report

#### 3. Dates of future meetings

- 12 December 2018
- 6 February 2019

(All meetings to start at 7.00 pm)

## **Recommendation**

The Committee is asked to CONSIDER the Work Programme and RESOLVE accordingly.

#### Background papers

Nil



## **Major Emergency Plan**



Prepared by

Broxtowe Borough Council Emergency Planning Section Council Offices Beeston Nottingham NG9 1AB

#### Content

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- 1.2 Aim
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- 1.7 Mutual Aid

## SECTION 2 Integrated Emergency Management in Nottinghamshire

- 2.1 Command and Control
- 2.2 Management and Coordination of Response
- 2.3 Multi Agency Command Structure Strategic / Tactical / Operational
- 2.4 Local Resilience Forum (LRF)

#### **SECTION 3** Roles and Responsibilities

- 3.1 Introduction
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- 3.4 Deputy Chief Executive's Department
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- 3.7 L Leisure
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- 4.9 Identification and Access
- 4.10 Communication
- 4.11 Expenditure
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## **SECTION 5:** Vehicles and Equipment

- 5.1 Introduction
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## **SECTION 6:** Additional Financial Arrangements

6.1 Bellwin Scheme Arrangements

## **SECTION 7:** Incident Log Sheet

#### **Section 1 - Plan Introduction**

#### 1.1 Introduction

In the majority of emergency situations, the emergency services provide the initial response with the Police usually being the lead service. There may however be circumstances where the wider arrangements outlined in this plan must be activated immediately. Major emergencies require a wide range of resources and services to deal with them. The Council will play a major role in the supply, management and distribution of many such resources and services within the borough boundaries. The Council also undertakes to provide mutual aid to neighbouring councils, when requested.

This plan is complementary to Nottingham and Nottinghamshire Local Resilience Forum (LRF) Generic Response Plan, other neighbouring councils, the blue-light services and the voluntary services in dealing with a major emergency.

This plan aims to bring together with the minimum of delay, relevant employees of the Council required to deal or assist with a particular unplanned situation that threatens death, injury, homelessness, health or safety of persons or property within the borough and to ensure the speedy and effective provision of necessary services. This response should meet both humanitarian and legal obligations, in particular the Civil Contingencies Act 2004, which takes account of the needs and expectations of the local community.

The plan, which is of necessity flexible in content, lays down broad policies, roles and responsibilities and works on the principle that a response to a major emergency should be an extension of day-to-day activities – albeit for longer hours than normal and usually under greater pressure.

It is necessary to include a great deal of information in a plan of this type. The layout is such that it will provide detailed advice, roles and responsibilities of departments and officers, whilst also being of practical use during an emergency. It is important to ensure familiarity with the whole plan prior to an emergency.

This plan was developed and is maintained by the emergency planning section and approved by the Civil Contingencies Group and the Policy and Performance Committee.

#### 1.2 Aim

The aim of this plan is to outline the arrangements in place for co-ordinating and managing the response of the Council to an emergency.

#### 1.3 Objectives

By preparing this emergency plan the Council will:

- provide a framework for an emergency response
- define the emergency planning team members, their roles and responsibilities
- define the roles and responsibilities of individual departments
- bring together appropriate processes for the adequate functioning of the plan, including training of employees, delegation arrangements and other supporting resources
- · explain the role of Councillors
- provide a mechanism for dissemination of the plan and updating / reviewing processes

#### 1.4 Civil Contingencies Act 2004

Following the floods of 2000, the fuel crisis and foot and mouth in 2001, the Government undertook a comprehensive review of the emergency planning function throughout England and Wales. Whilst this review was taking place the terrorist strikes in America took place on 11 September 2001, further emphasising the need for a robust framework for emergency planning in the UK.

The outcome of the review was legislation entitled the Civil Contingencies Act 2004 (CCA). This gained royal assent in November 2004.

The Act classifies emergency responders as either:

- Category 1. These are the primary responders, the blue-light emergency services, <u>local authorities</u>, Environment Agency and the health community. They are subject to six duties with respect to emergency planning, with <u>local authorities</u> subject to a seventh.
- Category 2. These are mainly utility companies with fewer statutory obligations to fulfil, but are required to aid the preparation and response to major emergencies through co-operating and sharing information with Category 1 responders.

The seven new duties are:

- Risk assessment
- Emergency planning
- Warning and informing the public
- Co-operating with partner agencies
- Sharing information with partner agencies
- Business continuity
- Business continuity promotion

#### 1.5 Definition of 'Emergency and a Major Incident'

Section 1 of the Civil Contingencies Act (2004) defines an 'emergency' as:

"An event or situation which threatens serious damage to human welfare in a place in the UK, the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the UK"

#### A Major Incident is defined as:

"An event or situation, with a range of serious consequences, which require special arrangements to be implemented by one or more emergency responder agencies"

## 1.6 <u>Preservation of Documents</u>

In the event of an emergency it is imperative that all documentation, both historic and current, is preserved by each individual agency, organisation and/or departments. An official investigation into the cause and circumstances of an emergency is inevitable.

Evidence may be required by, but is not limited to, any or all of the following:

- The appropriate enforcement authority, e.g. Health and Safety Executive, Environment Agency, Air Accident Investigation Bureau
- A judicial inquiry
- A coroner's inquest
- The police
- Criminal court
- A civil court hearing for compensation claims
- A Freedom of Information Act 2000 (FOIA) request

Agencies, organisations and/or departments may be required to give access to documents created or received, which do or may have a bearing on the emergency.

Under no circumstances must any document that relates or may in any way relate (however slightly) to the emergency be destroyed, amended, held back or mislaid. For these purposes, "documents" means not only pieces of paper but also photographs, audio and video tapes/DVD and information held on word processors or other computers, including internal electronic mail. It is especially important that no computer data that relates to or might relate to the incident be in any way amended or erased. All documents are to be preserved in the condition in which they were used.

Managers are responsible for identifying all relevant documents and making arrangements for them to be given to the Emergency Planning Manager in order for them to be securely stored. These documents will be retained indefinitely.

#### 1.7 <u>Mutual Aid</u>

Statement of Intent

"Chief Executive Officers of the local authorities within the Nottingham and Nottinghamshire Local Resilience Forum will endeavour to provide assistance in the form of personnel, expertise, premises, vehicles and/or equipment, including the release of contractors, in anticipation of or following a major emergency or

disaster which affects another council area whose Chief Executive is a signatory to this Statement of Intent.

A formal request for mutual aid shall only be made by a Chief Executive or other authorised person acting on behalf of a Chief Executive, to a Chief Executive or authorised officer acting for the other council.

A Chief Executive or authorised person who receives a request for assistance shall take appropriate action to respond to the request without delay and, in the case of an authorised person, shall inform their Chief Executive or other delegated person at a suitable time."

#### **Section 2 - Preparing for Emergencies**

#### 2.1 Command and Control

This Council provides an emergency response within its borders and by reciprocal agreement also provides operational support to neighbouring councils should an emergency occur within their area.

The Police or Nottinghamshire Fire and Rescue Service are invariably first on the scene of any emergency. If these emergencies require the activation of an emergency plan in order to cope with them, such as the Police Major Emergency Plan, the emergency services will automatically assume primacy for controlling the incident. Thereafter they will maintain operational control until such time as any danger to the public or property has passed, at which time operational control may be passed to the local authorities, allowing them to manage any clean up, public welfare operations, etc.

More often than not the Council's emergency plan will be activated in response to a request by the emergency services to assist them in dealing with an emergency. The Council will send a representative, normally the Emergency Planning Manager, to liaise with the emergency services at the designated incident control point.

In the event that the emergency situation is serious enough to warrant the activation of the Council's emergency plan, either in support of the emergency services, or as a result of the Council activating its emergency plan independently, then the lead role in managing the Council's response to the emergency would be assumed by the Chief Executive of the Council and actioned by Council employees.

Should the emergency situation become or seem likely to develop to a scale outside the response capabilities of the Council on its own, then the Chief Executive will request the activation of the Nottingham and Nottinghamshire Local Resilience Forum Generic Response Plan. Once this is activated, the lead role in managing the emergency will pass to the Chief Executive of the Nottinghamshire County Council.

#### 2.2 Management and Co-ordination of the Response

It is important that the Council have arrangements in place to adequately manage and co-ordinate the response and deployment of Council resources to a major emergency and at the same time dovetail with the overall management and coordination of the multi-agency effort.

The Council maintains an emergency control centre facility in the Council Offices which would be used for emergencies that affect the borough of Broxtowe or as part of a multi agency emergency.

#### 2.3 Multi Agency Command Structure – Strategic/Tactical/Operational

The Strategic/Tactical/Operational concept is well known, particularly in the bluelight emergency services. This command structure in use during a major emergency to manage and co-ordinate the multi-agency response.

The Strategic/Tactical/Operational system enables decision making and each

agency involved in the response is expected to provide an officer with the appropriate decision making powers to attend meetings of these groups.

## Strategic Coordinating Group (Gold)

The LRF forms the basis of this group which sets the strategic objectives of the response. It is only likely to come together if the emergency is likely to be protracted or require the deployment of extensive resources and expenditure. Representatives at chief executive / chief constable level are required to attend.

If this group is called together, the Chief Executive (or a nominated deputy) may be requested to attend to represent the Council.

## Tactical Coordinating Group (Silver)

The resilience working group forms the basis of the multi-agency tactical command, which co-ordinates the emergency response. It makes decisions on how best to safeguard the public and manage the recovery.

If this group is called together, a chief officer may be requested to attend to represent the Council.

## Operational Level (Bronze)

This is the operational command on scene (forward point). This group is made up of senior representatives from each organisation at the scene. They command and deploy resources at and around the scene of the emergency.

## 2.4 <u>Local Resilience Forum (LRF)</u>

The Nottingham and Nottinghamshire Local Resilience Forum is the senior management group for the co-ordination of emergency planning within Nottingham and Nottinghamshire. The Forum meets regularly, is led by the Chief Constable of Nottinghamshire Police, and is made up of senior officers from the principal emergency planning and response organisations.

The Civil Contingencies Act 2004, accompanying regulations and non-legislative measures deliver a single framework for civil protection in the United Kingdom to meet the challenges of the twenty first century. The Act is separated into two substantive parts: local arrangements for civil protection (Part 1) and emergency powers (Part 2).

The Forum is concerned with overall direction and policies of emergency planning and preparation in Nottingham and Nottinghamshire. The Forum also forms the basis of the strategic multi-agency group that leads the overall response to any major emergency.

#### **Section 3 - ROLES AND RESPONSIBILITIES**

#### 3.1 Introduction

In the initial stages of an emergency response, the Emergency Planning Officer has authority to act in the best interests of the Council by providing appropriate relief and support as rapidly and effectively as possible.

In the absence of the Chief Executive, Deputy Chief Executive or Director, the appropriate Head of Service or Senior Manager will be contacted and expected to undertake their role, responsibilities and functions as far as possible. The Emergency Planning Team shall determine whether appropriate authority shall pass to that employee.

Each division/section will have a role to play in dealing with a major emergency/incident. This section outlines that role for each department.

#### 3.2 Chief Executive

The Chief Executive or nominated deputy in a major incident will:

- 1. Ensure that the necessary plans exist to deliver an effective Council response to any major incident.
- 2. Manage and co-ordinate the response to any major incident.
- 3. Determine Council strategy decide the range of assistance.
- 4. Organise the call-out of required employees from each department.
- 5. Mobilise Council resources.
- 6. Liaise with the emergency services.
- 7. Establish emergency command and control centre(s) where appropriate.
- 8. Liaise with other local authority Chief Executives and appropriate County Council officers.
- 9. Authorise press statements on behalf of the Council.
- 10. Chair the emergency management team.
- 11. Seek military support if necessary.
- 12. Maintain financial control of Council operations.
- 13. Maintain essential records relevant to the incident.
- 14. Brief Councillors.
- 15. Establish public information services.

16. Establish a disaster fund (if circumstances warrant).

## 3.3 Chief Executives Department

#### **Environmental Health**

1. At the request of the Emergency Planning Team, the Head of Public Protection will instruct a liaison officer to report to the emergency centre with responsibility for advising on all aspects of environmental health and any such liaison with other organisations and services.

In the event of an emergency or major incident the Section will advise on:

- a) the provision of emergency sanitation
- b) food and water sampling and inspection service (Section Plan Appendix 1 – Food Sampling Procedure)
- c) Council's response to a rabies Incident
   (Section Plan Appendix 3 Local Resilience Forum Rabies Plan)
- d) The control of an outbreak of an infectious disease; (Section Plan Appendix 4 – Control of infectious Disease Procedure) in conjunction with the Section Plan Appendix 5 – The Nottinghamshire Health Authority (PHE) Infectious Disease Outbreak Plan) Section Plan Appendix 6 – Severn Trent Outbreak Control Plan for Waterborne Infection, Contamination or Chemical Incident)
- e) Any precautions to be taken by occupiers returning to their homes following evacuation.
- 2. In the event of an incident involving chemical or radiological spillage, immediate notification shall be given to the Nottinghamshire Fire and Rescue Service acting as agents for the Environment Agency. They will advise on the regime required for the containment and disposal of such spillages and any precautions to be observed by operatives and the public at large.
- 3. In the event of mortuary facilities being required, regard will be given to the Local Resilience Forum Mortuary Plan.
- 4. Local Resilience Forum's Rabies Control Plan is held within the Section, which will lead any Council response to such an emergency.
- A section 'log' of the events must be maintained including where appropriate, photographic records, throughout the emergency or major incident and will include details of financial aid, supplies and services requisitioned.

#### Housing

- In the event of an emergency or major incident which results in a number of homeless requiring transit or semi-residential accommodation, the Head of Housing on request of the Emergency Planning Team, will provide the necessary accommodation.
- 2. Initially it may be necessary to use retirement living schemes as reception centres for people made homeless as a consequence of an emergency or major incident. The reception centre will provide a venue for victims to be

taken temporarily whilst the rest centre is being set-up. The Head of Housing will be responsible for the establishment and organisation of such centres and may seek the assistance of the Council's Emergency Planning Manager to fulfil this requirement.

- 3. In most cases rest centres will be leisure centres due to their practical location. (See Leisure below). However, retirement living schemes or bed and breakfast accommodation can be used for small numbers of evacuees.
- 4. On being alerted the Head of Housing will instruct a liaison officer to report to the emergency control centre with responsibility for advising on all aspects of housing aid and any liaison with other organisations and services.
- 5. On being alerted the Head of Housing will instruct officers to provide temporary support for buildings and repairs to damaged property.
- A section 'log' of the event will be maintained throughout the emergency or major incident. Written records of all requests to the Housing Division for assistance must be kept.
- 2. A section 'log' of the event including where appropriate photographic records, will be maintained throughout the emergency or major incident.

#### Legal

- 1. The Senior Legal Officer (or deputy) will be a key member of the emergency planning team.
- 2. The section may be called upon to give advice on all legal matters arising from the emergency or major incident.

#### 3.4 DEPUTY CHIEF EXECUTIVES DEPARTMENT

#### **Customer Services**

1. Telephone operators for the customer services section will be provided to maintain telephone communications with all areas and will forward any relevant telephone calls to the emergency control centre.

#### **Finance**

- 1. On request, the Deputy Chief Executive will send an employee to the emergency control centre to act as an advisor.
- The section may be called upon to give advice on the financial aspects of the situation arising and to co-ordinate financial aid that may be involved in assisting the victims of the incident.
- For cost control purposes, section 'logs', including where appropriate
  photographic records, will be maintained throughout the emergency or major
  incident, which will be collated and details of financial aid, supplies and
  services requisitioned fully recorded.
- 4. A comprehensive record of insured losses and evidence gathered by officers will be compiled to substantiate any claims made.

#### **Property Services**

- 1. On being alerted the Head of Property Services will instruct officers to provide temporary support for buildings and repairs to damaged property.
- 2. The Division will provide an Emergency Planning Manager/Officer to coordinate the response and recovery of the emergency or major incident.
- 3. The Division will provide specialist advice on health and safety implications for the nature of the emergency.
- 4. This Division will ensure that, if necessary, the emergency control room is setup and that those needed to operate this facility are contacted.
- 5. The Head of Property Services will ensure that a burial and crematory function is maintained.
- 6. A section 'log' of the event including where appropriate photographic records, will be maintained throughout the emergency or major incident. Written records of all requests to Property Services for assistance must be kept.

#### 3.5 STRATEGIC DIRECTORS DEPARTMENT

1. The Director of Strategy (or his deputy) will be a key member of the emergency planning team.

#### **Environment**

- 1. In an emergency or incident the Director is equipped to provide managers, supervisors and employees, together with vehicles and equipment to the incident.
- 2. Additional plant can be obtained through private contractors and also by mutual aid from adjacent councils.
- On being alerted the Director will instruct a liaison officer to report to the emergency control centre with regard to advising on all relevant aspects of work and any liaison with other organisations and services.
- 4. The Head of Environment will operate from Kimberley Depot and will ascertain the nature and position of the emergency or major incident and will establish a 'site control' informing the Emergency Planning Manager of its location and communications. Situation reports, estimates of damage, resources available and additional requirements, etc. will be forwarded to the emergency control centre as soon as possible.
- 5. A skilled team will be made available to fell and remove dangerous trees and clear roads and debris.
- 6. A Division 'log' of the events, including where appropriate photographic records, must be maintained throughout the emergency or major incident. The Department log will include details of financial aid, services, and supplies requisitioned.

#### **Human Resources**

- 1. The section will provide assistance in contacting employees required to assist with control of the incident.
- 2. The section will provide advice on employee records, give assistance in drawing up work rotas and provide clerical back up and counselling.
- The Human Resources Manager will ensure that employee salaries continue to be paid.
- 4. A section 'log' of the events including, where appropriate, photographic records, must be maintained throughout the emergency or major incident.

#### **Information and Communication Technology**

1. The section will provide computer systems and mobile telephones, technical advice and assistance related to computer communication.

#### **Corporate Communications**

- 1. On request by the Council's Chief Executive, the Corporate Communications Manager will arrange the setting up of an information bureau in the Council Offices or elsewhere as agreed by the Chief Executive.
- 2. The work required in setting up media liaison, communications, disaster funds, press conferences, etc. will be handled by the administrative section as directed by the Corporate Communications Manager. Information to be released must be channelled through and authorised by the Chief Executive or Corporate Communications Manager.

## 3.6 <u>BUILDING CONTROL - Erewash Borough Council</u>

- 1. Building Control is now operated on a shared services arrangement with Erewash Borough Council, with a duty officer standby arrangement provided for out-of-hours emergencies. This officer may be called upon to examine damaged buildings and potentially dangerous structures.
- 2. Where appropriate the officer at the scene will advise on the methods and actions needed to deal with emergency repairs.
- 3. A log of the events including, where appropriate, photographic records, must be maintained throughout the emergency or incident and will include details of financial aid, services and supplies requisitioned.

#### 3.7 Liberty Leisure

Liberty Leisure are a separate company from the Council, but arrangements exist to provide rest centre facilities in the event of an emergency. Rest centres may be required and leisure centres may be the most practical location. Assistance should be sought via the Council's Emergency Planning Manager and from Nottinghamshire County Council's Emergency Planning Team who will activate the Rest Centre Protocol.

#### 3.8 <u>The Emergency Planning Team</u>

The Emergency Planning Team shall assemble as directed by the Chief Executive, Deputy or the Emergency Planning Manager. It shall comprise of:

- Chief Executive
- Deputy Chief Executive
- Strategic Director
- Head of Environment
- Head of Property Services
- Emergency Planning Manager
- Human Resources Manager

Other Heads of Service and the Emergency Planning Officer may supplement the Emergency Planning Team.

#### 3.9 Responsibilities of the Emergency Planning Team

The Council's Emergency Planning Team is responsible for implementing the Emergency Plan and will action the following:

- Advise and support the Chief Executive or deputy in the execution of duties
- Revise and update the Council's emergency plans
- Provide and update emergency equipment supplies
- Provide Council emergency planning internet and intranet sites
- Provide suitable training for Council employees in dealing with emergencies
- Provide briefings to the public on emergency planning
- Liaise with the police
- Liaise with county, city, parish and neighbouring district or borough councils
- Liaise with appropriate agencies such as St. Johns, Environment Agency etc
- Arrange additional resources required by the coroner at an emergency mortuary as appropriate

#### 3.10 The Leader of the Council

The Leader of the Council will be kept informed by the Chief Executive or deputy about the emergency and the Council's response.

#### 3.11 Councillors

Policy and Performance is the responsible Committee for Emergency Planning. it will consider the overall strategy of emergency planning and allocate the required resources.

Should an emergency occur, the Chief Executive has full responsibility for its management and will advise the Chair and Vice Chair of the Policy and Performance Committee of any actions taken as soon as practical.

Councillors will be informed by the Chief Executive or deputy as soon as practical of any emergency within their respective wards. They will be kept informed of the progress on the emergency and what is required of them.

#### 3.12 Role of Councillors

- Support the Chief Executive and Emergency Planning Team in the provision of emergency relief as quickly as possible
- Represent the interests of the public and provide a public contact point
- Provide information to council officers on the effects of the emergency, public requirements and concerns
- Provide representatives to visit the scene or other areas of operation, as appropriate

More detail can be found in the Councillor's Emergency Plan

## 3.13 <u>Delegated Arrangements</u>

The Chief Executive or deputy shall have the power to authorise any necessary action within the powers of the Council in the event of the activation of the plan, including authorisation of any unplanned expenditure.

#### Section 4 - Activation of the Plan

#### 4.1 <u>Introduction</u>

No two emergencies will be exactly alike, therefore the Council's emergency plan is designed to be generic so that it can be used in a variety of situations and where necessary link in with other activated plans.

Council employees acting under the authority of the Chief Executive may act outside the guidance laid out within this plan if deemed necessary and authorised. This recognises the fact that an emergency plan, no matter how well prepared, will not cover every eventuality encountered during an emergency which is by nature dynamic.

District/borough Chief Executives, County and City Chief Executives and the Chief Constable will ensure that adequate contingency arrangements exist to allow for an effective response to any emergency affecting the public throughout the geographical areas for which they are responsible.

#### 4.2 Alerting / standby / stand-down / call out arrangements

Depending on the nature of the emergency, different levels of response will be appropriate.

It is particularly important to use common terminology during alerting to avoid confusion. The following table indicates what action to take when receiving these alerts:

Alert Message	Action		
FOR INFORMATION ONLY	<ul> <li>No immediate action is required</li> <li>Be aware that an event has occurred</li> <li>Consider possible future involvement</li> <li>Remain available to receive further calls</li> </ul>		
STAND-BY	<ul> <li>Remain available to receive further calls</li> <li>Make preparations to act immediately if notified</li> <li>Alert other employees of the Council as appropriate</li> </ul>		
ACTIVATION	<ul> <li>Implement actions as requested/outlined in the plan</li> <li>Call out employees.</li> <li>Attend the Council Offices, if required</li> <li>Open the emergency control centre, if required</li> </ul>		
STAND-DOWN	<ul> <li>Cease emergency response preparations or actions</li> <li>Alert other employees of the Council as appropriate</li> <li>Retain all log sheets and other records</li> </ul>		

It is likely a debrief will be held at a suitable time following the major emergency where all the agencies involved in the response can discuss in an open forum the response to the emergency and record instances of good practice and any lessons to be learned.

#### 4.3 <u>Activation of the Emergency Plan</u>

The Council's emergency plan will be activated as a result of an emergency or perceived emergency within the borough being elevated to ACTIVATE. However, arrangements must be in place before it gets to this point wherever possible (see Alert Table above).

This plan will be used as a basis for managing the major emergency. Activation shall also involve any, or all, of the following:

- alerting other members of the emergency planning team in order to start the planning and execution of the emergency response
- notifying the Corporate Communications Manager
- notifying Nottinghamshire County Council's Emergency Planning Team
- placing on standby or deploying services as necessary
- opening and establishing the emergency control centre
- commencing and maintaining recording mechanisms and communication links
- enlisting the assistance of any or all of the emergency or voluntary services
- authorising the opening of a place of safety and possibly a rest centre, if need be
- establishing an information bureau and media links
- notifying relevant Councillors
- authorising appropriate expenditure

#### 4.4 Notification by an External Source

In the event of any emergency, the emergency services will notify Nottinghamshire County Council's Emergency Planning Team. Official notification to the Council will be received from Nottinghamshire County Council's Emergency Planning Team or directly from the emergency services. Contact should not be via any other service. Notification will be conducted in the following order until an officer is contacted:

Emergency Planning Manager Emergency Planning Officer Head of Property Services Deputy Chief Executive Chief Executive

#### 4.5 Notification by a Service Area

Council officers receiving a call will relay the message to the most appropriate senior manager or Director who shall notify the Emergency Planning Manager (as the first point of contact) or the Emergency Planning Officer (as the second point of contact). A joint decision should determine whether the situation constitutes an emergency requiring activation of the plan, take prompt decisive action to deal with the situation and trigger the appropriate level of response as necessary.

Contact information for key employees is contained in the *Emergency Planning Operational Handbook*. This booklet is held by key employees of the Council.

It is essential for any employee involved in emergency operations to carry identification in order to ensure access to key locations. Such employees should also have regard to their own health and safety and that of their colleagues.

#### 4.6 Out of Normal Hours Access to the Council Offices

If there is a possibility that access to the Council Offices may be required out-of-hours, then contact must be made with the security company or the Emergency Planning Manager. Contact information is contained in the *Emergency Planning Operational Handbook*.

#### 4.7 Emergency Control Centre

In the event of a major emergency, Conference Room 3/4 at the Council Offices shall be vacated and converted into the emergency control centre (ECC). In the event that the Council Offices is closed for any reason, an alternative control room will be designated at Kimberley Depot.

The ECC in Conference Room 3/4 at the Council Offices shall contain:

- BBC Major Emergency Plan
- BBC Operational Flood Plan
- BBC Flu Pandemic Plan
- BBC Councillors Emergency Plan
- Emergency Control Room Plan
- Access to ICT equipment and relevant stationery, etc
- Flip chart
- Maps
- Log sheets (see Section 8)

The ECC shall also be the base for keeping appropriate records of the emergency response until being archived.

#### 4.8 Emergency Incident Post

If appropriate the Council will establish an emergency operational incident post near the scene of the emergency for a senior officer to co-ordinate the Council's response. The post will operate in conjunction with the Police operational incident post and remain in regular communication with the ECC.

## 4.9 <u>Identification and Access</u>

All persons involved in an emergency response must have appropriate personal identification. Failure to produce such identification at a location forming part of the emergency response (e.g. a command centre, a Police cordon, etc) may result in that person being denied access.

Council employees shall have a valid <u>Council identification card</u> bearing the individual's name and photograph. These cards will also be required to providing reassurance to residents of the borough that employees wishing entry or providing assistance are bona-fide Council employees. Identification cards will also be required to gain access into Council premises in the event of a major emergency.

#### 4.10 Communications

**Emergency Planning Operational Handbook** 

The Council's emergency planning operational handbook contains all contact details which will be maintained and up-dated annually. The list shall contain contact details for relevant employees and organisations and shall include out-of-hours contact details and Council mobile phone numbers.

Mobile Telephones

Members of the Emergency Planning Team shall be contacted via their Council or private mobile phone during the emergency. In those circumstances that indicate the possibility of an emergency it shall be the duty of every employee who may be called upon to provide assistance to ensure that their mobile phone is fully charged.

Mobile Telecommunications Privileged Access Scheme (MTPAS)

The Council's relevant mobile telephone numbers are registered with the Cabinet Office under MTPAS. These phone numbers are protected in the event of a regional or national breakdown or a restriction imposed by the Police to the normal mobile network.

**Emails** 

Emails can be sent and received via all PCs and certain mobile phones.

## 4.11 **Expenditure**

The Council may incur expenditure during an emergency where there is a threat to life or property. The Chief Executive or the Deputy Chief Executive shall be authorised to approve and instruct actions that will incur unplanned expenditure. A full and detailed record must be kept of such actions. Further information on the Bellwin Scheme can be found in Section 8.

## 4.12 Records

The Chief Executive shall ensure that accurate records are produced. A log sheet is provided on the back cover of this plan and the emergency planning operational handbook, which will allow initial records to be logged for those incidents that occur out-of-hours. A copy of this record must be surrendered to the Chief Executive as soon as it is reasonably practicable to do so.

Significant developments will be written on flip chart paper and/or on the white boards within the emergency control centre to provide quick reference of developments. All records produced throughout the emergency response shall be collated as soon as possible and retained by the Emergency Planning Manager.

#### 4.13 Health and Safety

**Employee Safety** 

An emergency situation is likely to invoke circumstances that could pose health and safety risks to employees. It is the manager's responsibility to ensure that these risks are assessed and all reasonable precautions taken to avoid injuries. Individuals also have a responsibility for their own safety and will not assist the emergency situation if they are to put their own safety at risk.

#### Rest and Rosters

Following an emergency, employees will very likely be called upon to carry out work which is outside their normal activities and may require long working hours. Nevertheless, wherever possible managers will provide rosters for adequate relief and refreshment for employees to allow them to operate effectively and ensure that the Council retains the ability to provide a continual service to the public until the emergency has been fully dealt with.

#### Food and Refreshment

Council employees may be required to work long hours during an emergency and, as a result may not be able to find suitable food or refreshment. The Council will identify catering arrangements for employees engaged in emergency operations as a key task.

#### Stress and Monitoring

The very fact that there is an emergency can create stress and break normal routines. If the situation is prolonged for more than a few hours, especially if the activity involved is unpleasant and harrowing, full consideration will be given to employee welfare. Managers will need to monitor the stress levels of their employees during the emergency and over the following weeks to look for signs of post incident psychological trauma. A good indication of the effect of stress or traumatic experiences in employees could be a combination of changes in normal behaviour, day dreaming, short temper, guilt, tension, restlessness, mumbling, absence from work or any other unusual behaviour. Assistance in these cases will be offer to employees via PamAssist.

#### 4.14 <u>Media</u>

The emergency planning team shall inform the Corporate Communications Manager who will provide the necessary support and assistance by providing position statements and intended responses to the media.

In most cases the police will determine the timing and detail of announcements to the media, however on occasions these will be dealt with directly. Assistance may be required with the setting up of a media control centre, including additional or emergency telephone links, which the police will then control.

Media interest may become intense, however it is essential that only official comments are made and these must be co-ordinated in the manner explained above. It is of extreme importance that no employee or Councillor shall discuss or give opinions on the details or nature of the emergency response to any member of the public or media unless authorised by the Chief Executive or the Corporate Communications Manager.

The Council will use a multi media approach to communications and engage where appropriate using the traditional media such as newspapers, radio and TV as well as digital and social media to reach a wider audience instantly.

#### 4.15 **Evacuation and Shelter**

Initially, evacuees will be taken to a place of safety to allow an assessment to be undertaken and, if required, time for a rest centre to be established. Rest centres are wherever possible pre-agreed, such as at leisure centres, which are taken over on a temporary basis for use as shelters by members of the public who have been temporarily displaced by an emergency. Once activated a rest centre would provide a safe warm area for individuals/families until they are able to return to their own homes or new accommodation can be found. Rest centres may remain open for days with large numbers of people living in them full-time if required.

<u>NOTE</u>: small numbers of evacuees will be kept at a place of safety instead of opening a rest centre e.g. retirement living scheme, community centre, bed and breakfast, hotel, etc.

The Council has two designated Rest Centres:

Chilwell Olympia Sports Centre 0115 917 3333 Kimberley Leisure Centre 0115 917 3366

Bramcote Leisure Centre (Limited number 0115 917 3000 and should only be considered as a place of safety – no more than 20 evacuees)

The Rest Centres will only be opened on instruction from the Police, Fire and Rescue Service, Chief Executive or the Emergency Planning Manager.

In the event of their use, the procedures contained in LRF Evacuation and Shelter Plan will be followed and put into place by Nottinghamshire County Council Emergency Planning Team and the Council's Emergency Planning Manager and supported by leisure centre employees.

Should additional large-scale temporary accommodation be required, Nottinghamshire County Council may open certain larger schools in the vicinity.

A rest centre may be used in the provision of mutual aid to a neighbouring council. In these circumstances, their operation will be no different to an emergency response on behalf of this Council.

Rest Centres provide the following services on site:

#### Facilities / Agencies on site

- Registration for contact by worried relatives
- Borough Council employees
- Liberty Leisure employees
- County Council employees
- First Aid / medical care for minor injuries
- Welfare Services through the Red Cross
- Information point
- Toilets and washing facilities
- · Rest and overnight sleeping areas
- Food and drink
- Mother and baby facilities
- Secure storage
- Pets area

- Disabled facilities
- Communications
- Ambulance/Health Workers
- Benefits Agency
- Police
- Religious support
- RSPCA
- Samaritans
- St John's Ambulance
- Citizens Advice
- Television/games area

#### **Section 5 - Vehicles and Equipment**

#### 5.1 Introduction

The Strategic Director's Department has a wide range of vehicles and equipment available. The department also carries stocks of fuel (diesel and petrol) at Kimberley Depot.

#### 5.2 Vehicles

More specialist equipment such as highways construction type equipment, general gritting vehicles, various access platforms/cranes such as the HIAB or Simon Access and gully emptying vehicles can be requested from VIA East Midlands (formerly Nottinghamshire County Council Highways).

Grounds Maintenance has a range of vehicles and machinery which could be used for clearing fallen/dangerous trees and debris.

#### 5.3 **Equipment**

Other equipment may be hired from local companies. A list of hire companies and the type of equipment available is included in the Council's emergency planning operational handbook.

#### 5.4 Heating and Lighting Equipment

The Chief Executives Department holds a supply of emergency equipment including heating and lighting generators at Kimberley Depot.

#### Section 6 - Additional Financial Arrangements

#### 6.1 Bellwin Scheme Information

The Bellwin Scheme was established under the Local Government and Housing Act 1989, Section 155 and is designed to provide financial assistance to local authorities in emergencies.

This section of the Act became effective on 01 April 1990.

The basic principles of the scheme are:

- Expenditure should be on immediate works to safeguard life and property or to prevent suffering or severe inconvenience (rather than long-term repair or reconstruction).
- 2. There is an expenditure threshold up to which local authorities are expected to have budgeted.
- 3. Normally insurable expenditure is not covered.
- 4. Expenditure will be cumulative for the purpose of the threshold if the Bellwin Scheme is activated more than once per year in any local authority area.

For weather related emergencies, a decision as to whether to activate the Bellwin Scheme will be based on:

- 1. Weather conditions which were clearly exceptional related to local experience, and the damage sustained is also clearly exceptional.
- 2. During an emergency the Deputy Chief Executive would be responsible for details relating to the Bellwin Scheme.
- 3. A proforma is available for recording any expenditure that could be claimed as a result of a major emergency.



## **BROXTOWE BOROUGH COUNCIL**

## **INCIDENT LOG REPORT SHEET**

NATURE OF INCIDENT:	<u>NAME</u> :	<u>DATE</u> :	<u>SHEET N</u> º:
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Nº	Time &			Actioned
	Date	Name	Information	Y/N
		From		
		/ To		
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# Councillors Emergency Plan



## Prepared by

Broxtowe Borough Council Emergency Planning Section Council Offices Beeston Nottingham NG9 1AB

May 2018 Councillors Plan

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## 1.1 Section 1- INTRODUCTION

#### **1.1** Purpose of the Plan

This Plan aims to provide Councillors with a clear overview of:

- How emergency planning is managed in Broxtowe
- The responsibilities of the Council under the Civil Contingencies Act 2004
- The important role that Councillors can play before, during, and after an emergency

#### 1.2 What is the Civil Contingencies Act?

The United Kingdom as a whole has seen a number of large-scale emergencies in recent years. The widespread flooding, fuel shortages, the outbreak of foot-and-mouth in 2000, along with the subsequent terrorist attacks in New York on 9/11, demonstrated the need for a more integrated approach to emergency planning. This led to a Government review of emergency planning in England and Wales. The outcome of this was the Civil Contingencies Act 2004, which provides an improved, more consistent, and more resilient, approach to emergency planning.

The Act received Royal Assent in November 2004, and the duties commenced in November 2005. The Act is in two parts:

- Part One relates to local arrangements;
- Part Two covers emergency powers that can be used by central government.

Part One of the Act places statutory duties on those organisations that have responsibilities to respond to major emergencies affecting communities. These include the emergency services (Police, Fire and Ambulance), Health Agencies, <u>Local Authorities</u>, the Environment Agency and are 'Category One' responders with the following legal duties:

- A duty to carry out a Risk Assessment and publish all or part of a Community Risk Register
- 2. A duty to Plan for Emergencies
- 3. The requirement to have robust **Business Continuity** arrangements in place to maintain service delivery
- 4. A duty to have arrangements in place to **Warn and Inform the Public** both before and during emergencies
- 5. A duty to Co-operate with partner agencies
- 6. A duty to **Share Information with partner agencies**

The Act also defines a secondary group of responders. These 'Category Two responders' are those organisations which, although not 'primary' responders, could potentially have a significant role. For example, utility companies, communication agencies and transport operators. Category two responders have statutory duties to **co-operate** and to **share information** with category one responders in the planning and response to major emergencies.

#### 1.3 Definition of 'Emergency'

Section 1 of the Civil Contingencies Act (2004) defines an 'emergency' as:

"An event or situation which threatens serious damage to human welfare in a place in the UK, the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the UK"

## 1.4 What is Business Continuity?

Business continuity is similar to emergency planning, but is focused internally. It is about planning to mitigate the effects of a potential disruption to our own vital public services, so they can continue to be delivered. Whatever the incident the Council should strive for 'business as usual' in service delivery.

The Council's Strategic Risk Management Group brings together key officers from all Departments in order to develop such arrangements.

#### Section 2 - EMERGENCY PLANNING IN BROXTOWE

#### 2.1 What does SCG / TCG / Operational mean?

The terms Gold / Silver / Bronze have been used by all emergency responders to describe the Strategic / Tactical / Operational command structure for many years during a major emergency to manage and co-ordinate the multi-agency response.

This structure enables effective decision making. Each agency involved in a response is expected to provide an officer with the appropriate decision making powers to attend meetings of these groups and are now known as:

#### Strategic Co-ordinating Group (SCG) - Gold

This **Strategic Co-ordinating Group** typically comes together if the major emergency is likely to be protracted or require the deployment of extensive resources and expenditure.

Chief Officer level representatives from each agency / organisation are required to attend to oversee the overall response and authorise expenditure.

#### Tactical Co-ordinating Group (TCG) - Silver

This **Tactical** level group is made up of senior representatives from each organisation involved in the response. It manages and co-ordinates the overall response of all the organisations to the major emergency and makes decisions on how best to safeguard the public and mitigate the effects of the emergency.

#### Operational - Bronze

This is the **Operational** command at the scene (forward point) of the emergency. This group also comprises senior representative from each organisation on site; they command and deploy resources at and around the scene of the emergency.

#### 2.2 How do we manage the Council's response to an emergency?

The overall deployment of the Council's resources and response to a major emergency will be managed and co-ordinated by the Council's Emergency Planning Team. This comprises Directors, Heads of Service, Emergency Planning Manager and is led by the Chief Executive.

The team meets regularly to consider the preparedness of the Council for emergencies. Additionally, the team will come together during emergencies to manage and co-ordinate the tactical level response of the Council, for both emergency planning and business continuity emergencies.

The Emergency Planning Team will assemble as directed by the Chief Executive, (or Deputy) or the Emergency Planning Manager and will comprise:

Chief Executive
Deputy Chief Executive
Strategic Director
Head of Property Services
Emergency Planning Manager
Human Resources Manager

Other Directors, Heads of Service and the Emergency Planning Officer may supplement the Emergency Planning Team as necessary

#### 2.3 What is the role of the Emergency Planning Manager?

The Emergency Planning Manager (EPM), who is also the Health and Safety Manager, co-ordinates the planning and preparation, training and exercises for emergencies on behalf of the Council. The EPM will assess and manage any minor emergencies, calling out relevant Departments / employees / resources as appropriate.

The EPM works in close collaboration with all Departments, plus Nottinghamshire County Council's Emergency Planning Team, emergency services, health and other government agencies, and others, to ensure that the response to a major emergency would be co-ordinated between all the agencies involved.

#### 2.4 What are the roles of the Council's Departments?

All Departments have different resources and specialists that may be useful in the response to a major emergency. Each Department has a representative on the Council's Emergency Planning Team, who provides information as to the capabilities of individual Departments in preparing for emergencies, and what actions have been taken in response to an emergency.

#### 2.5 How will Councillors be kept informed?

During an emergency, the Chief Executive or an appointed deputy will ensure that the Leader and the relevant local councillor(s) are kept informed of events.

The Chief Executive will discuss significant issues of strategy and policy with the Leader.

#### 2.6 What Emergency Plans exist in Broxtowe and Nottinghamshire?

A wide range of generic and specific emergency plans have been produced by the Emergency Planning Manager, Nottinghamshire County Council's Emergency Planning Team and the Local Resilience Forum (LRF).

Generic emergency plans cater for the consequences of emergencies, rather than for a specific hazard or threat. Specific Emergency Plans cater for incidents occurring at specific sites or a specific scenario. Further information about these plans can be found on the Council's Intranet.

## 2.7 How do we fund Emergency Planning and Response activities?

Central government provides civil contingencies funding for local authority emergency planning activities. This comes to the Council through its formula funding grant.

As the profile of emergencies has risen over recent years, the expectations of our communities on the role of emergency planning as a function, has also risen. Accordingly, the Council has recognised the importance of its emergency planning work, and has provided funding to ensure that the Council is in a position to quickly support communities affected in an emergency by placing an Emergency Planning Manager on standby.

## 2.8 Who are our partner organisations and how do we work with them?

Broxtowe Borough Council has established links with a full range of relevant statutory agencies, as well as non-statutory bodies. These include:

- Police, EMAS and Fire and Rescue
- Nottinghamshire County Council
- Other borough and district councils
- Health agencies
- Voluntary agencies, including British Red Cross, St John Ambulance, faith communities, RSPCA and others

All these agencies contribute to the planning and preparation for emergencies.

The partnership is formalised through the Nottingham and Nottinghamshire Local Resilience Forum (LRF), which is the senior co-ordination group for this area and chaired by the Chief Constable. It meets regularly in normal times to discuss the emergency planning and preparation work that is being undertaken within Nottinghamshire. In the event of a major emergency appropriate members of the group would come together to form the strategic level co-ordination of the emergency.

#### Section 3 - THE ROLE OF COUNCILLORS

## 3.1 What is the role of Councillors before an emergency?

Councillors provide a vital interface with the communities they serve, and are well placed to pass information to and from local people affected by the hazards and risks for which plans are prepared.

Essentially, the key role of Councillors before an emergency embraces:

- Being aware of the Council's responsibilities under the Civil Contingencies Act 2004.
- Maintaining an awareness of the hazards and risks in their own local area (see Section 4 of this Plan).
- Providing advice to members of the public, and directing them to the expertise provided by the Emergency Planning Team.
- Passing on local knowledge to the Emergency Planning Team regarding hazards and risks in the community.
- Contributing to emergency planning awareness-raising and training events.
- Gaining an understanding of the emergency planning arrangements in Broxtowe that enable a successful multi-agency response.
- Considering reports provided by the Emergency Planning Manager on emergency planning topics.

#### 3.2 What is the role of Councillors during an emergency?

In overall terms, Councillors can participate in the Council's response to an emergency by:

- Providing support and encouragement for the efforts of officers of all Departments involved in the response to the emergency
- Attending and being a familiar 'face' of the Council at locations set up to deal with the emergency
- Participating as a member of any Emergency Planning Team which may be established to consider issues such as provision of additional funding to aid relief efforts
- Focus on lifting morale both amongst employees and the affected community
- Keeping a log of significant actions and events for use in subsequent debriefings and any official inquiries related to the emergency

Experience elsewhere demonstrates that a local authority is never scrutinised

more closely, by the public, than it is in its response to a major emergency.

#### The Local Councillor

Councillors for the area(s) affected by an emergency can contribute to the response in a number of important ways, as listed below. In all of these roles, it is important that the Councillor keeps in touch with the emergency control centre (if established), and / or with members of the Emergency Planning Team. This will ensure that everyone is working with up-to-date information on the response and concerns of affected communities.

#### Community Leader Role

Emergencies, by their nature, tend to be chaotic. In the early stages, there may be a degree of confusion and apparent disarray. This should pass quickly, not least because of the calm assurance of civic leaders such as Councillors. In this role Councillors are well placed to pass important safety information and other advice from the Emergency Planning Team directly into affected communities. This role may also lead to Councillors being asked to undertake particular roles in the community response, for example by being a trustee for a disaster fund.

#### A public face of the Council

The Corporate Communications Manager will deal with enquiries from the media. However, representatives of the news media will also seek out Councillors for their perspectives on the emergency response. In general terms, Councillors need to exercise caution when speaking publicly in this situation. Therefore, a number of pre-prepared sound bites have been included in Section 4 of this Plan.

#### The Civic Dignitary Role

A vital role of Councillors is to be the figurehead local dignitary in welcoming visitors to the area of the emergency. This may involve:

- Greeting VIPs such as members of the Royal Family or government ministers.
- Receiving delegations of representatives from other areas.
- Meeting representatives of the victims of the emergency.
- Representing the local community at memorial services and other events.

#### 3.3 What arrangements are there for the safety of Councillors?

The scene of an emergency can of course be a dangerous place. For safety, Councillors should observe the following precautions:

 The emergency services will establish cordons (as soon as they are able to) around any dangerous areas, normally by means of high-visibility tape. For safety's sake, these cordons must not be crossed under any circumstances.

- Maintain continuous surveillance for possible dangers seeking advice as necessary from the emergency services personnel or Emergency Planning Manager/Health and Safety Manager.
- Ensure that the Emergency Planning Team is aware of your movements, and is able to contact you with safety information.
- Consider seeking advice on debriefing and emotional support services.

#### 3.4 What is the role of Councillors following an emergency?

Councillors can make a significant difference to their community during the long-term recovery from an emergency. They can do this by:

- Being a key source of strength, inspiration and leadership for the local community in the return to normality.
- Participating in the proper administration of funds from any Disaster Appeal.
- Participating in community self-help groups set up to support those affected by the emergency.
- Attendance at any memorial / remembrance service as appropriate.
- Ensuring that the lessons learnt from the response to the emergency are incorporated into emergency plans.

#### 3.5 How can Councillors obtain information about Emergency Planning?

Councillors can obtain further information about emergency planning by:

- Contacting the Emergency Planning Manager 0115 917 3330
- Broxtowe Borough Council website www.broxtowe.gov.uk

#### **Section 4 - FURTHER INFORMATION**

#### 4.1 Media

The Corporate Communications Manager will deal with enquiries from the media on behalf of the Council.

Councillors may be approached by the media directly. They should be aware that the media may be looking for back-door access to information that is not being made available to them. It is not therefore likely to be helpful if Councillors make specific comments about the incident itself and how it is being handled.

#### 4.2 <u>Media Sound Bites</u>

- 'The Council plans carefully for emergencies'
- 'We've prepared for this, now we're hard at work putting our plans into action'
- 'Now's the time to allow the emergency services to get on and do their job'
- 'We're working hard to implement our plans with colleagues in the emergency services'
- 'I know we're working closely with our partners in... (Nottinghamshire County Council's Emergency Planning Team, Emergency Services, Health Services, borough and district councils, Environment Agency)'
- 'I know Council officers will do all they can to maintain / restore essential services ... to look after those vulnerable people who need our support'
- 'Now is not the time for speculation... (about cause / blame)'
- 'Our sympathies are with those (killed, hurt, evacuated) and for their families and friends'
- 'Residents need to remain calm and listen for instructions from ... (emergency services)'
- 'I'm grateful to those Council employees who have volunteered to turn out to help those affected'
- 'Thanks to our residents for their patience during this time. For the latest updates, please visit the Council's website <u>www.broxtowe.gov.uk</u> and social media accounts on facebook and twitter'.



# HEALTH AND SAFETY POLICY

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#### **Health and Safety Policy**

#### 1. Introduction

The Health and Safety Policy "Statement" is a written declaration of intent to demonstrate that Broxtowe Borough Council, as an employer is fully committed to the health, safety and welfare of all its employees and others. It is the Council's policy to endeavour to provide safe and healthy working conditions and to enlist the active support of all its employees to achieve this end.

The Health and Safety Policy contains the "Organisation's" responsibilities and the "Arrangements" for carrying out the Policy. The Health and Safety Policy identifies relevant health and safety legislative requirements and a comprehensive review of assessments and precautions associated with the inherent hazards in the work being undertaken at its various premises and sites.

The Health and Safety Policy is located in the Health and Safety section on the Council's intranet. The Health and Safety section also details accident reporting procedures and codes of practice relating specifically to the hazards or risks associated with the premises, sites and activities for which the Council is responsible.

This Policy will be reviewed every two years to ascertain if it is fit for purpose. In addition it will be revised to encompass any technological changes, managerial restructuring, alterations to premises and sites, and the introduction of new or modified processes.

Contractors employed at any premises or sites controlled by the Council must be made aware of the provisions of the Health and Safety Policy and its implications and must conform in all respects to the requirements of the Policy.

#### 2. General Objectives

All departments will apply the Council's Health and Safety Policy effectively by identifying who is responsible for its implementation and by setting up arrangements to ensure that all the requirements under the Health and Safety at Work, etc, Act 1974 and other specific legislation are met.

Individual Directors, Heads of Service, Managers and Supervisors will ensure compliance with all health and safety legislation including the Council's Health and Safety Policy and codes of practice.

#### 3. Organisation for Implementing the Policy

#### 3.1 Chief Executive

The Chief Executive is responsible for giving effect to the Council's overall Health and Safety Policy.

The Chief Executive's business address is:

Broxtowe Borough Council Council Offices Foster Avenue Beeston Nottingham NG9 1AB

The Chief Executive will ensure that there are adequate numbers of employees, funds and materials to meet health and safety requirements within the Council and will continually review the effectiveness of the policy and of personnel under her control to whom responsibility for various aspects of health and safety have been delegated.

#### 3.2 Directors (including the Deputy Chief Executive)

Directors have overall responsibility for establishing safe working practices, enforcing safety regulations, monitoring and improving their effectiveness and for ensuring that adequate resources, training, information and supervision are provided for all employees.

They will draw the attention of the Chief Executive to any major failure, weakness or omission in their department's arrangements for health and safety and will execute any action authorised for the protection of employees and the public.

They will consult with the Council's Health and Safety Manager who will identify and recommend preventative measures necessary for the avoidance of accidents and ill health. They will implement the recommendations of the Council's Health and Safety Manager.

They will have a significant role in developing corporate safety standards and the effective monitoring of the Council's corporate and departments policies.

#### 3.3 Heads of Service

They will be responsible to the Director for applying the Health and Safety Policy and monitoring its effectiveness. Within their responsibility they will establish standards of health and safety to be enforced by managers and supervisors.

They will consult the Health and Safety Manager for information and advice about relevant health and safety legislation and will communicate to their managers and

supervisors the knowledge to enable them to implement the health and safety policy effectively.

They will arrange for the Health and Safety Manager to conduct safety inspections of all permanent premises and sites within their responsibility as necessary and will co-operate with safety representatives and the Council's Health and Safety Manager in remedying defects and hazards identified.

They will ensure by the provision of adequate information, instructions and training that competent supervision is available, particularly where young or inexperienced employees are concerned.

They will ensure compliance with safety procedures and will recommend to the Director the resource levels necessary to sustain a healthy and safe working environment.

#### 3.4 Managers and Supervisors

They must immediately inform the Health and Safety Manager by the quickest possible means about <u>all fires and/or evacuations</u> (short or long term) at Council public buildings, retirement living schemes, leisure facilities, housing, etc.

They will inform the Health and Safety Manager of any agency worker required for employment in order for a health and safety induction to be undertaken before commencement of employment.

They will arrange for information, instruction and supervision to be given to employees and will ensure that they are properly trained for the tasks they will undertake. They will be responsible for ensuring that risk assessments have been undertaken and that the safe system of work is completed within the risk assessment. In addition, they will be responsible for ensuring as far as is reasonably practicable that any possible/foreseeable risks that may arise on a day to day basis are controlled to remove/reduce the risk and for reporting major problems to the Director or Head of Service as appropriate.

They will ensure, as far as is reasonably practicable, that all employees enjoy a safe and healthy working environment and that all employees comply with the Council's health and safety policies and codes of practice.

They will recommend disciplinary action against any employee within their section who breaks safety rules.

They will inspect office work areas frequently and ensure that they are maintained in a clean and tidy condition. They will apply the standards required under any relevant legislation.

They will endeavour to create safely arranged offices, furniture and equipment and will devise safe working practices and communicate them to employees. They will be responsible for the proper induction of new employees.

They will inspect storage, workshops and work areas frequently and ensure that they are maintained in a clean and tidy condition. They will apply the standards required under any relevant legislation.

They will ensure that all accidents, near-misses and dangerous occurrences are reported on the forms provided and will notify the Council's Health and Safety Manager of serious accidents, dangerous occurrences or instances of occupational disease immediately as required by the Reporting of Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR). They will investigate the causes of accidents in association with the Health and Safety Manager in order to prevent a recurrence. They will ensure that necessary action is taken to remove the cause of the accident.

They will understand thoroughly the fire safety procedures and bomb warning evacuation procedures.

They will liaise with the Health and Safety Manager to identify training needs and will assist in the provision of training.

#### 3.5 Employees Responsible for Purchasing

Employees will, where necessary, comply with the Council's procurement process and standing orders.

They will ensure that all substances and articles, etc. purchased on behalf of the Council are supported by adequate instruction and information for their storage and use.

They will ensure that information on handling, storage, use and transport of such articles is circulated and understood.

They will ensure that prior to the supply and use of all substances that material data sheets and assessments are completed as required under the Control of Substances Hazardous to Health Regulations (COSHH) 2002 and any other relevant legislation.

#### 3.6 Employees

Employees will comply with all legal and department / section safety rules. They must co-operate with management to maintain a high standard of health and safety in their work area, behave in a way that will not endanger themselves or others and report all safety hazards to their safety representative and immediate supervisor.

They will carry out their duties under sections 7 and 8 of the Health and Safety at Work etc. Act 1974. The relevant sections are reproduced below:

#### (Section 7)

"It shall be the duty of employees while at work":

- (a) "to take reasonable care for the health and safety of themselves and of other persons who may be affected by their actions or omissions at work, and
- (b) as regards any duty or requirement imposed on your employer or any other statutory provisions, to co-operate so far as is necessary to enable that duty or requirement to be performed or complied with".

#### (Section 8)

"No person shall intentionally or recklessly interfere with or misuse anything provided in the interests of health, safety or welfare in pursuance of any relevant statutory provisions".

Failure to observe this duty may lead to legal and / or disciplinary proceedings being taken against the person concerned.

They will not operate or modify any machinery or equipment or carry out any work unless authorised, trained and instructed as necessary to do so safely.

They will wear and use protective clothing when it is required.

They will ensure good housekeeping within their workplace.

They will afford assistance to visitors and in the event of an emergency, guide visitors to a place of safety immediately.

They will inform their immediate supervisor promptly of all defects, hazards and potential hazards within the workplace.

#### 3.7 Organisational Support

The organisational support to managers and supervisors in discharging their responsibilities under the Health and Safety at Work etc. Act 1974 is:

#### 3.7.1 <u>Health and Safety Manager</u>

The Health and Safety Manager is the "Competent Person" for the Council, to provide assistance as defined under Regulation 7 of the Management of Health and Safety at Work Regulations 1999.

The Health and Safety Manager is responsible for:

 ensuring that health and safety procedures and safe systems of work are set up and maintained to meet the Health and Safety Policy and to liaise with all departments to ensure training and information resources are made available;

- interpretation and dissemination of information with regard to statutory regulations and approved codes of practice to all departments;
- advice and guidance through liaison with all departments of the Council's operations for monitoring all sites and contracts when necessary both for client and contractor functions;
- implementing investigations into accidents and near-misses where necessary in liaison with managers, and for providing accident statistics when required;
- advice and guidance on standards and use of machinery and equipment in liaison with all Departments;
- inspecting the Council's premises to ensure that standards of health and safety are maintained;
- arranging for newly appointed employees, including agency and temporary employees, to be made fully aware of the Council's Health and Safety Policy via a health and safety induction during their first week of employment and to receive refresher training at suitable intervals.

#### 3.7.2 Safety Representatives

Safety Representatives will:

- Carry out their functions in accordance with the guidance given in the Safety Representatives and Safety Committee Regulations 1977;
- Read and understand the Council's Health and Safety Policy and the organisation and arrangements for carrying out this policy;
- Keep themselves updated and informed of requirements and legislation relating to the health and safety of the persons they directly represent;
- Report in writing to their immediate supervisor any unsafe or hazardous conditions;
- Carry out inspections at regular intervals with management and the Health and Safety Manager.

#### 3.7.3 Occupational Health Physician

The Occupational Health Physician will:

- Provide medical examination of new starters and/or completed medical questionnaires;
- Provide medical advice on all matters relating to working procedures/activities;

 Provide health screening for new starters before the commencement of employment for all employees involved with noisy environments, vibration and biological hazards.

#### 3.7.4 Joint Consultation and Action

Joint consultation on health and safety matters will be maintained by the Council in order to:

- actively promote measures aimed at ensuring the health, safety and welfare of all persons at work;
- encourage employee participation in the prevention of accidents and avoidance of industrial diseases;
- meet statutory duties as defined by the Health and Safety at Work etc. Act 1974 and associated regulations.

#### 3.7.5 Safety Committee

The Safety Committee, which meets as is required but at least twice a year, operates with delegated authority and consists of safety representatives, Heads of Service and Directors with the Chief Executive as Chair. Employee's representation to be elected representatives from Unison, UNITE or non-union elected safety representatives. A committee clerk shall be provided for such meetings.

The functions of such a committee are to have a consultative function and in the event of failure to agree, the dispute would be taken through existing conciliation machinery.

The Safety Committee should have the following under constant review:

- the legal obligations of the Council in respect of health and safety legislation
- the legal obligations of employees in respect of health and safety legislation
- work methods and training
- accident studies
- protective equipment
- first aid arrangements
- fire precautions
- risk assessment

#### 3.7.6 Safety Committee Membership

#### <u>Management</u>

Chief Executive (Chair)
Deputy Chief Executive
Strategy Director

Heads of Service Health and Safety Manager (Advisor) Principal Environmental Health Officer (Advisor) Human Resources Manager (Advisor)

#### Safety Representatives from sections across the Council nominated by:

Unison ~ 4 UNITE ~ 3

The Chief Executive has the power to invite an officer to the meeting for purposes of providing the Committee with a report.

Invitee ~ 1

#### 3.7.7 Policy and Performance Committee

The Policy and Performance Committee will have the responsibility for approving the Health and Safety Policy on behalf of the Council after it has been approved by the Safety Committee.

#### 4. <u>Health and Safety Arrangements for carrying out the Policy</u>

#### 4.1 Introduction

The Council will safeguard the health, safety and welfare of all employees and others as appropriate. It will apply measures agreed by the Safety Committee and will publicise information for the health, safety and welfare of employees and others as appropriate.

The Council will co-operate with the Health and Safety Executive, Nottinghamshire Fire and Rescue Service and any other relevant authority.

Departments/sections will co-operate with the Council's Health and Safety Managers and with elected safety representatives.

#### 4.2 New Employee Inductions

New employees to the Council, including those appointed on short-term temporary contracts of employment, shall within their first week of employment be properly instructed in their responsibilities under this policy via a health and safety induction by the Health and Safety Section and their relevant supervisor and shall:

- Be instructed on emergency, accident procedures, etc.
- Be instructed on all means of escape in case of fire and bomb warnings, position of call points, types and location of fire fighting appliances.
- Before undertaking any work requiring the use of personal protective clothing and safety equipment, shall:
  - be issued with the appropriate personal protective clothing and safety equipment
  - be instructed on safe methods of work, use of personal protective clothing and safety equipment

#### 4.3 Work Experience Inductions

Persons undertaking periods of work experience with the Council shall on their first day of employment be properly instructed in their responsibilities under this policy via a health and safety induction by the Health and Safety Section and shall:

- Be properly instructed in their responsibilities under this policy by the relevant supervisor.
- Be issued with the appropriate protective clothing and safety equipment where this is required for the work undertaken.
- Be instructed on safe methods of work, use of personal protective clothing and safety equipment where appropriate.
- Be instructed on emergency procedures, accident, etc.
- Be instructed on all means of escape in case of fires and bomb warnings, position of call points, types and location of fire fighting appliances, location of assembly points.

Persons undertaking periods of work experience with the Council shall not be permitted to visit Council premises, including maintenance sites and construction sites, or to undertake any activity, unless adequately instructed and strictly supervised by appropriately experienced and competent persons.

#### 4.4 Young Person Induction

In addition to the above arrangements for work experience persons the Council shall comply with Regulation 19 (Young Persons) of the Management of Health and Safety at Work Regulations 1999 by ensuring that young persons (aged from 16 and up to 18 years) employed are protected at work from any risks to their health or safety which are a consequence of their lack of experience, or absence of awareness of existing or potential risks or the fact that young persons have not yet fully-matured.

The Council shall not employ a young person for work which is beyond his/her physical or psychological capacity or involving harmful exposure to agents which are toxic or carcinogenic, cause damage or harm to the unborn child or which in any other way chronically affect human health.

Young persons will not be involved in work that may lead to the risk of accidents which it may reasonably be assumed cannot be recognised or avoided by young person's owing to their insufficient attention to safety or lack of experience or training or in which there is a risk to health and safety from:

- extreme cold or heat
- noise
- vibration
- working at height, or
- Asbestos

In determining whether work will involve harm or risks for the purposes of this paragraph, regard shall be given to the results of the risk assessment. Nothing above shall prevent the employment of a young person who is no longer a child for work:

- where it is necessary for his training
- where the young person will be supervised by a competent person, and
- where any risk will be reduced to the lowest level that is reasonably practicable

#### 4.5 Support and Counselling

Managers should be sensitive to signs of stress, such as mood changes, anxiety, physical symptoms and absenteeism. Further guidance on identification and management is available from the Council's Stress Management Policy.

Support offered to employees who experience violence might include:

- The offer of counselling;
- Time off work, flexible working hours, or a change in duties where appropriate;
- Advice on appropriate steps to initiate legal proceedings and/or gain compensation for personal injury or damage to property.

#### 4.6 Agency Worker Induction

Agency workers to the Council, including those appointed on short-term contracts of employment, shall on their first day of employment be properly instructed in their responsibilities under this policy by the Health and Safety Section or relevant supervisor and shall:

- Be instructed on emergency, accident procedures, etc.
- Be instructed on all means of escape in case of fire and bomb warnings, position of call points, types and location of fire fighting appliances, location of collection points
- Before undertaking any work requiring the use of personal protective clothing and safety equipment, shall:
  - be issued with the appropriate personal protective clothing and safety equipment
  - be instructed on safe methods of work, use of personal protective clothing and safety equipment

#### 4.7 Risk Assessment

The Management of Health and Safety at Work Regulations 1999, as amended, requires the Council to make an assessment of risk to health and safety of its employees (and others who may be affected by their operations). This is to ensure that all the preventative and protective measures can be identified and controls put in place to reduce all identified risks to the lowest levels reasonably practicable.

All documented risk assessments shall be conducted by managers/supervisors using the electronic "Safety Organiser" and reviewed at the appropriate date. However, should circumstances have changed between the review date to such an extent as to render the original assessment invalid, the assessment shall be revised.

The Code of Practice for Risk Assessments can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.8 First Aid

First aid boxes are provided throughout the Council's premises. Those for premises are kept by the First Aiders or Emergency Aiders appointed under the regulations.

Each First Aider is responsible for the first aid kit being fully equipped in accordance with the First Aid at Work Regulations. Monthly inspections of first aid kits must be carried out and recorded by the First Aider or Emergency Aiders and any defects found must be rectified.

Every vehicle is provided with a first aid kit and it is the responsibility of the driver or Emergency Aider to ensure that the first aid kit is fully equipped in accordance with the First Aid at Work Regulations. Monthly inspections of first aid kits must be carried out by the driver or Emergency Aider.

The Council has provided defibrillation units with trained employees at the following locations:

Council Offices, Town Hall, Kimberley Depot, Bramcote Leisure Centre, Kimberley Leisure Centre, Chilwell Olympia Sports Centre and Bramcote Crematorium. These units will be used to assist in preserving life until the arrival of professional medical assistance.

#### 4.9 Medical Arrangements

Fitness to work and susceptibility to environmental influences may be affected by age or intervening accidents or illness.

An absence from work for an accident or illness raises the possibility that an individual's fitness for work may have been affected, either temporarily or permanently. The period of absence before an employee is referred to the Council's occupational health provider will depend on individual circumstances.

#### 4.10 Health and Safety Training

Facilities are provided to ensure that adequate face-to-face and online health and safety training is given to:

- Directors, Heads of Service, Managers and Supervisors;
- Safety representatives;
- Individuals working with a wide range of vehicles, plant and equipment.

#### 4.11 Reporting of Accidents and Diseases

All accidents, diseases and near-misses to employees or members of the public must be reported on the appropriate form by the person involved in the incident or by their nominated representative. Chief Officers/managers/supervisors must complete their section of the form before forwarding it to the Health and Safety Manager, which **MUST** be received within **five working days**. Fatalities, major injuries and dangerous occurrences must be reported **immediately** to the Health and Safety Section by the quickest possible means. The Health and Safety Section will inform the Health and Safety Executive and complete the report form (F2508 or F2508A).

Accident Investigation and Reporting Procedures can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.12 Information

The Health and Safety at Work, etc Act 1974 emphasises the need to supply comprehensive information on health and safety matters, covering both statutory requirements and the practical methods of observing them.

The Council will provide information necessary to enable all employees to fulfil their functions. Such information includes:

- information of a technical nature about hazards to health and safety, in respect
  of plant, machinery, equipment, systems of work and substances in use at
  work, including any relevant information provided by consultants or designers,
- information that the Council keeps relating to the occurrence of any accident, dangerous occurrence or notifiable disease and any statistical records relating to such accidents,
- any other information specifically related to matters affecting the health and safety at work of employees of the Council; details of any health and safety training to be carried out,
- all new starters through a health and safety induction.

#### 4.13 New and Expectant Mothers

Pregnancy is a condition which need not necessarily present specific risks at work regarding health and safety. It is not an illness or disease and should not be regarded as such.

#### 4.13.1 Employer's Duties

The Management of Health and Safety at Work Regulations 1999 (MHSWR) requires employers to assess work-related risks of all of their employees, including new and expectant mothers. The Health and Safety Section will conduct an assessment of all new and expectant mothers in order to ascertain if any reasonable adjustments can be made to ensure the health and safety of the employee and the unborn child where:

• the work is of a kind which could involve risk, by reason of her condition, to the health and safety of a new or expectant mother, or to that of her baby, from any processes or working conditions, or physical, biological or chemical agents.

Where reasonable adjustments cannot avoid the risk, the Council shall, in accordance with regulation 16 of the MHSWR, if it is reasonable to do so and would avoid such risks, alter her working conditions or hours of work.

If it is not reasonable to alter the working conditions or hours of work, or if it would not avoid such risk, the Council shall suspend the employee from work for so long as is necessary to avoid such risk.

#### 4.13.2 Employee Responsibility

Under the Health and Safety at Work etc. Act 1974, employees have a responsibility for their own health and safety. They should inform the Council in writing as soon as possible if they become pregnant or are breast-feeding.

The Code of Practice for New and Expectant Mothers can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.14 Noise

The Noise at Work Regulations 2005 apply to all workplaces and places a duty on the Council to assess the noise levels and take appropriate control measures to prevent damage to hearing of employees from excessive noise.

Engineering reduction techniques will be implemented wherever possible for reducing noise levels below the upper exposure action level. Where this has not been achieved, all employees who operate equipment that is deemed through noise assessments to be at or above the upper exposure action level, have been provided with suitable ear defenders and are required to wear them. Replacements will be provided in the event of ear defenders being lost, stolen or damaged.

The Code of Practice for Noise at Work and the Policy for the Management of Plant and Equipment Purchase/Hire and Maintenance can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.15 Vibration

The Control of Vibration at Work Regulations 2005 apply to all workplaces and activities and places a duty on the Council to assess the vibration levels and take appropriate control measures to prevent damage to employees from excessive vibration.

Occupational exposure to vibration arises in a number of ways which, if left uncontrolled, can cause discomfort, a reduction in productivity and adverse health effects.

The most common route of transmission is through the hands, wrists and arms where there is direct contact with the vibrating source. Workers most at risk from hand-arm vibration are those working in horticulture, arboriculture, woodworking, building construction and road construction etc. i.e. any work involving powered hand held tools or processes.

The Council has devised a range of procedures to protect its employees from the effects of vibration, which includes appropriate health screening for new starters before commencement of employment and annual health surveillance.

The Code of Practice for Assessing and Managing Hand Arm Vibration Syndrome and the Policy for the Management of Plant and Equipment Purchase/Hire and Maintenance can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.16 Fire Precautions

#### 4.16.1 Buildings

The Regulatory Reform (Fire Safety) Order 2005 removes the requirement for Fire Certificates and places the responsibility on the employer/owner to assess the risk to the organisation. It applies to all workplaces and activities and places a duty on the Council to conduct fire risk assessments and fire awareness training in order to reduce/remove the risk of fire/explosion and to take appropriate control measures to prevent damage to property and injury to persons.

Fire risk assessments will be conducted by the Health and Safety Manager on a risk based approach which will be on a one, two or three year programme in collaboration with the relevant manager.

Fire fighting equipment and means of detecting and raising the alarm are provided to cover risks and protect employees and premises. Information relating to procedures, tests and operating systems are provided along with maintenance arrangements.

Employees are required to report all defects noted and to keep equipment unobstructed and in good condition.

All escape routes shall be kept clear of obstructions at all times.

#### 4.16.2 Furniture and Furnishings

All furniture and furnishings shall comply with the Furniture and Furnishings (Fire) (Safety) Regulation 1988 and display the appropriate label. This legislation requires that upholstery passes the cigarette test, furniture filling material and loose filling material passes the ignitability test and permanent covers shall have passed the match test.

The Fire Safety Policy can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.16.3 Vehicles

Some Council vehicles are provided with a fire extinguisher and it is the responsibility of the driver to ensure that the extinguisher is fully charged and tagged. If an extinguisher is used or the tag broken, the driver should inform the Transport and Stores Manager immediately. The vehicle will be checked by the Council's Vehicle Workshop during servicing for the presence of the extinguisher and to ascertain that it is fully charged and tagged.

Every fire extinguisher will be serviced annually by the Council's fire extinguisher provider.

#### 4.17 Vehicle Safety

Drivers are responsible for ensuring that any load carried on/in a vehicle is secured to prevent movement and that the vehicle is not over its legal carrying weight.

If another team member is present, that person will assist the driver to reverse the vehicle or to manoeuvre through tight spaces.

Drivers must be mindful of driving in severe weather and not to put themselves, the vehicle or other persons, including members of the public at risk. Severe weather arrangements may be in place to restrict movement prior to entering the highway, but if conditions deteriorate whilst on-site, drivers must contact their manager if they encounter hazardous conditions that give rise for concern.

#### 4.18 Introduction of New Machines, Materials or Processes

Before any new type of machine, material or process is introduced within the Council's working area, managers will ensure that it meets all health and safety requirements. Arrangements may also be made for the Health and Safety Manager and the Safety Representative to be consulted in accordance with appropriate regulations.

The Policy for the Management of Plant and Equipment Purchase/Hire and Maintenance can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.19 Employment of Contractors

All contractors (construction and non-construction) employed by the Council shall complete the appropriate assessment form. Any contractor employed by the Council, pursuant to its various procurement processers subject to standing orders, shall have their Health and Safety Policy approved by the Council's Commissioning/Supervising Officer prior to the award of any contract to them. For contractors used by the Council for a period in excess of twelve months, the policy will be reviewed annually.

All contractors including sub-contractors (construction and non-construction) will acquaint themselves and comply with the relevant Code of Practice, which can be found on the Council's intranet from the Health and Safety link.

Whilst work is in progress, monitoring will be conducted by the Council's Commissioning/Supervising Officer contracting the work to ensure that the contractor's work(s) are carried out in such a manner so that any risks are not created.

#### 4.20 Safety Rules for Contractors

Contractors and their employees must, when working on the Council's sites, obey all safety regulations. Specifically they must be made aware of and comply with the Council's Code of Safe Working Practice for Construction Contractors and Non-Construction Contractors.

The responsibility for ensuring that contractors are informed rests with the Council's Commissioning/Supervising Officer contracting the work, who shall issue the contractor with a copy of the Council's Code of Safe Working Practice for Construction Contractors or Non-Construction Contractors. The Commissioning /Supervising Officer shall receive appendix A of the code signed by the contractor to demonstrate that the contractor has read and understood the Council's requirements. A copy of appendix A shall be forwarded to the Health and Safety Manager.

The Construction or Non-Construction Contractors Codes of Practice and the Code of Practice for Safe Working at Height can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.21 Construction Work

New buildings or extensions and alterations undertaken on behalf of the Council will incorporate health and safety in their design. The Health and Safety Manager may be consulted before equipment is purchased for the Council. The Fire Officer may also be consulted.

All construction works controlled by the Council shall incorporate health and safety in their design. The Health and Safety Manager may be invited to attend precontract meetings to advise on health and safety matters and the proposed methods of work where appropriate on construction work on Council non-domestic premises.

#### 4.22 Construction Design and Management (CDM)

The objective of the Construction (Design and Management) Regulations 2015, regulations is to introduce a legal framework covering design, commissioning of work, its planning and execution, which applies to all construction work likely to pose significant risks to workers and other parties. The underlying aim is to encourage information flow from the original conception, through the design and construction phases to the final users of the building – ultimately to prevent/reduce health and safety risks to all concerned at the design stage.

#### 4.23 Dangerous Substances

The Health and Safety Manager will distribute guidelines and codes of practice concerning asbestos, dangerous substances and other major hazards likely to be encountered at work. The Health and Safety Manager will advise and assist managers in investigating any serious accidents and recommend preventative

measures. Managers will check that appropriate signs and notices are displayed to warn, inform and identify risks and safety requirements.

The Code of Practice for the Control of Substances Hazardous to Health (COSHH) and Working With and Managing Asbestos can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.24 Personal Protective Clothing and Equipment

Whilst the Council devotes considerable resources into the elimination of all hazards in certain situations, this is not always possible. Therefore, individual sections will provide suitable personal protective clothing and equipment to comply with the standards required under any relevant legislation or local agreement. Employees must wear the equipment and report immediately to their supervisor/manager any damage to or loss of personal protection such as ear defenders, eye protection, safety helmets, safety footwear, etc.

The Code of Practice for Personal Protective Equipment can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.25 Manual Handling

The Manual Handling Operations Regulations 1992 should be considered alongside the Management of Health and Safety at Work Regulations 1999, which require the Council to undertake a suitable and sufficient risk assessment relating to manual handling operations of loads that may affect any employee whilst they are at work.

The Code of Practice for Manual Handling and Risk Assessment can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.26 Display Screen Equipment

The Council is responsible for ensuring workstation assessments are conducted and for the provision of relevant training. The Council has an elearning training program for employees to complete and is followed by a self-assessment. Managers are responsible for ensuring that new and existing employees conduct the training and review the self-assessment forms prior to being forwarded to the Health and Safety Manager. Eye and eyesight tests for employees who are display screen equipment users are available through a voucher arrangement. The above also applies to home workers.

The Code of Practice for Display Screen Equipment can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.27 <u>Electrical Safety</u>

The Electricity at Work Regulations 1989 set out general principles rather than detailed specific requirements.

The 1989 regulations apply to all electrical equipment, regardless of where or when it was made, bought, installed or used.

Fixed mains electrical testing is conducted on systems in all Council buildings and is performed at various intervals according to the requirements of the building.

The Senior Public Buildings Maintenance Officer ensures that portable appliance testing (PAT) is conducted on all Council portable electrical equipment and is performed at regular intervals according to the nature of the work the appliance is being used for. Any employee identifying any defects to such equipment must ensure that the equipment is taken out of service, clearly labelled and reported to the manager or supervisor.

All electrical plugs, sockets and adaptors originally intended for domestic use at a voltage of not less than 200 volts and to fuse links suitable for use with such plugs and adaptors shall comply with the Plugs and Sockets etc (Safety) Regulations 1994. This legislation also requires that most domestic electrical products must be supplied with a fused 3-pin plug (BS 1363). The legislation relates specifically to domestic appliances, which the Council has many at various locations, therefore compliance may be used as good guidance for the workplace in many applications.

#### 4.28 Gas Safety

The Gas Safety (Installation and Use) Regulations 1998 (GSIUR) specifically deal with the installation, maintenance and use of gas appliances, fittings and flues in domestic and certain commercial premises.

All operatives working to this procedure in domestic and non-domestic sectors are required to identify "ID" – (Immediately Dangerous) and "AR" – (At Risk) situations on all appliances and/or installations they work on. Where work is not carried out, a visual risk assessment is undertaken.

The Council has a large number of premises that have at least one gas appliance installed.

Domestic/commercial gas servicing is carried out annually by Gas Engineers to ensure all appliances are safe to use. For gas safety servicing /repairs at Public Buildings, a competent contractor is employed.

#### 4.29 Fuel Safety

Fuel for vehicles and plant is stored in bulk at Kimberley Depot and is regulated by the Petroleum Consolidated Regulations 2014. Bulk fuel deliveries to the site are controlled via the Depot Stores ensuring full safety procedures and regulations are adhered to. The maximum quantities stored are:

Petrol 3636ltrs (Underground Tank) Gas Oil 3636ltrs (Underground Tank)

Diesel 23000ltrs (Bunded Overground Tank)

Access to the fuel is via three separate fuel dispensing pumps individually controlled by a vehicle key and driver password. Employees are informed not to smoke whilst refuelling vehicles, plant or fuel cans. All spillages are covered with sand or absorbent granules. Fire extinguishers are located at the fuel pumps to extinguish any fire.

#### 4.30 Confined Spaces

The Confined Space Regulations 1997 define a confined space as "any place including any chamber, tank, vat, silo, pit, trench, pipe, sewer, flue, well or other similar place in which, by virtue of its enclosed nature, there arises a reasonably foreseeable specific risk.

A confined space has one or more of the following attributes:

- Limited access or egress
- The space is not intended for continuous working
- The space contains known or potentially hazardous substances and/or atmospheres conditions of engulfment/entrapment may exist or develop

The Code of Practice for Entry into Confined Spaces can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.31 Maintenance Procedures

Each section of the Council shall draw up a planned preventative maintenance schedule appropriate to the equipment or plant in use by that section and record all maintenance of that plant and equipment.

Responsibility for ensuring that a planned preventative maintenance schedule has been drawn up and is being observed rests with the appropriate Head of Service or Manager.

The planned preventative maintenance schedule shall take account of any maintenance schedule provided by plant and equipment manufacturers and suppliers.

Hired equipment or plant should not be included on the planned preventative maintenance schedule unless it is a condition of hire that the user maintains the plant or equipment. If the hire company is responsible for such maintenance, the user shall return the plant or equipment to the hirer at such intervals as may be required for maintenance purposes.

The Policy for the Management of Plant and Equipment Purchase/Hire and Maintenance can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.32 Work Equipment

The Health and Safety at Work etc. Act 1974 places a duty on employers to safeguard the health, safety and welfare at work of all employees. An important element of this general duty is to provide and maintain work equipment and machinery that is safe and without risks to health as far as is reasonably practicable.

The Provision and Use of Work Equipment Regulations 1998 (PUWER 98) cover this specific duty and requires all employers to ensure that work equipment used by employees is safe.

The regulations also place duties on others, including certain persons in control of work equipment or persons at work who use, supervise or manage the use of work equipment.

Managers shall ensure that all equipment provided is suitable and safe to use and that where required, a set of operating/maintenance instructions or certificate of inspection or test is provided.

Employees must only use work equipment after they have received suitable and sufficient training and have received authorisation to use. All work equipment shall be visually inspected by the employee prior to use and if any defects are noted they shall not use the equipment. It should be clearly labelled "DEFECTIVE DO NOT USE" and the defect should be reported by the employee to their supervisor/manager.

The Code of Practice for Provision and Use of Work Equipment and the Policy for the Management of Plant and Equipment Purchase/Hire and Maintenance can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.33 <u>Lifting Operations and Lifting Equipment</u>

All lifting operations and lifting equipment used must comply with the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER). They must be of good mechanical construction, be maintained and marked with an identification number and a safe working load.

They must be accompanied with a current test certificate and all mandatory examination, inspection and documentation must be carried out.

All lifting operations and equipment must be under the control of a competent person and all must be conducted in compliance with the relevant regulations.

The Code of Practice for Provision and Use of Work Equipment can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.34 Premises

Premises should be monitored by all employees and any matter likely to reduce health, safety and welfare standards should be reported immediately to their immediate supervisor or manager.

#### 4.35 Heating

The temperature in workplaces should normally be at least 16°C for employees working within an office environment. For other indoor employees involved in severe physical effort, the temperature should be at least 13°C.

There is no defined maximum temperature, however where a reasonably comfortable temperature cannot be adhered through a workplace, local cooling should be provided.

#### 4.36 Lighting

The Council shall ensure that lighting is sufficient to enable employees to work, use facilities and move from place to place safely without eye-strain. Where necessary natural lighting shall be preferable, however, in many cases this may have to be supplemented by artificial lighting.

Any defective lights should be reported to the employees supervisor/manager in order for the replacement, repair or cleaning as necessary, before the level of lighting becomes insufficient.

#### 4.37 Housekeeping

It is the responsibility of all employees to keep their work areas clean and not to allow rubbish or debris to accumulate. They must ensure that floors, staircases, benches, vehicles, work sites etc. are in a tidy and safe condition and clear away unwanted items and remove any spillages of liquid or debris, which may create a slip or trip hazards.

#### 4.38 Waste

As far as is reasonably practicable, waste materials shall not be allowed to accumulate in a workplace except in suitable receptacles.

#### 4.39 Ventilation

In many cases, windows or other openings will provide sufficient ventilation in some or all parts of the workplace. Where necessary, mechanical ventilation systems should be provided for parts or all of the workplace, as appropriate. Workers should not be subject to uncomfortable draughts. In the case of mechanical ventilation systems it may be necessary to control the direction or velocity of airflow. Workstations should be re-sited or screened if necessary.

In the case of mechanical ventilation systems which recirculate air, including airconditioning systems, recirculated air should be adequately filtered to remove impurities. To avoid air becoming unhealthy, purified air should have some fresh air added to it before being recirculated. Systems should therefore be designed with fresh air inlets which should be kept open.

Mechanical ventilation systems (including air-conditioning systems) should be regularly and properly cleaned, tested and maintained to ensure that they are kept clean and free from anything which may contaminate the air.

#### 4.40 Washing Facilities

The Workplace (Health, Safety and Welfare) Regulations 1992 lay down certain requirements with regard to the provision of washing facilities in most workplaces (regulation 21).

The washing facilities provided must be readily accessible, suitable and sufficient and include, where necessary for reasons of health or the nature of the work, the provision of showers. The washing facilities will be considered "suitable" if they are in the immediate vicinity of the sanitary conveniences, near changing rooms, provided with hot and cold (or warm) water, soap or other means of cleaning, towels or appropriate alternatives, ventilated, well lit and maintained in a clean and working state. Separate facilities for male and female workers are also required except where the washing facilities are provided in a room which is able to be secured from the inside and are intended for use by one person at a time.

#### 4.41 Grinding / Cutting Discs / Wheels

All grinding/cutting equipment used either within workshops or on-site must comply with the Provision and Use of Work Equipment Regulations 1998 (PUWER). Some important requirements include:

- The use of the correct disc/wheel i.e. type, size, speed etc, which must be fitted by a trained employee
- All protective guards/work rests to be in position
- The provision of a mask, eye and hearing protection in accordance with the Personal Protective Equipment at Work Regulations 1992

The Code of Practice for Provision and Use of Work Equipment can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.42 Mobile Phones (Driving)

Employees whilst driving shall not either make or receive business or personal calls. Should a mobile phone ring whilst the vehicle is in motion or waiting in traffic, the driver must leave it and return the call when safely parked <u>making sure that the</u> engine is switched off.

The Council does not issue hands-free kits for use with mobile phones.

All mobile phones issued by the Council to employees must not be used to make or receive personal calls. The only exception to this would be where there is an emergency situation. In these circumstances the employee must notify their Head of Service of the reason for personal use.

#### 4.43 Asbestos

The Council will comply with the Control of Asbestos Regulations 2012. All non-domestic buildings are provided with an asbestos register that should be viewed before work commences to ascertain if asbestos is present in the work area. The electronic asbestos register for all public buildings is administrated by the Health and Safety Manager. The Council will ensure that procedures (Asbestos Essentials Task Manual) for working with and managing asbestos are complied with.

The Code of Practice for Working With and Managing Asbestos can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.44 Working at Height

The Council provides many services where employees are required to work at height. The Council will comply with the Working at Height Regulations 2005 by planning and assessing such work and to look for alternatives for working at height before choosing the use of ladders.

The Code of Practice for Working at Height can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.45 Aggression

The Council will take measures to remove or reduce the risk of aggression against employees. An Employee Protection Register (EPR) is available for managers and employees to view if persons, property and/or animals are known to pose a risk. The EPR will be available on a "Need to Know" basis to employees selected by their department. The Council also provides guidance and personal safety training courses for nominated employees.

The Code of Practice for Aggression at Work can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.46 Lone Workers

Working alone is usually safe but there are circumstances where lone working can increase the risks, therefore the Council will take measures to remove or reduce the risk of such risks. An Employee Protection Register is available for employees to view in order to ascertain if persons, property and/or animals are known to pose a risk. The Council also provides guidance and personal safety training courses for

nominated employees. Managers are responsible for identifying employees who require training and for those who require a lone worker device.

The Code of Practice for Lone Working can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.47 Legionella

The Council has many buildings all of which are provided with a hot and cold water system. The Council must ensure that all non-domestic buildings are provided with a legionella logbook for recording work that has been conducted on the system such as temperature monitoring, risk assessment, cleansing, etc and a schematic drawing. The Council has trained responsible persons and an independent chemist who conducts annual risk assessments.

The Code of Practice for Legionella can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.48 Personal Emergency Evacuation Plan (PEEP)

A Personal Emergency Evacuation Plan (PEEP) will be developed by a manager and a disabled employee to manage their evacuation in an emergency to a place of safety, thus ensuring that the correct level of assistance is always available.

The Code of Practice for Personal Emergency Evacuation Plan (PEEP) can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.49 Cylinders

Council employees use compressed gas cylinders for oxy-acetylene cutting and welding, argon for electric welding and for the soldering of pipework. These cylinders must be used correctly and stored appropriately to eliminate/minimise the risk to employees and others.

The Code of Practice for Cylinders can be found on the Council's intranet via Document Central/Policies & Procedures/Health & Safety Policies

#### 4.50 Flooding

Responding to an incident in and/or near floodwater can bring particular dangers that are not normally encountered in people's everyday working environment. The following is not an exhaustive list, so individuals must make their own dynamic risk assessments of the situation they face.

Particular care should be taken with the following dangers:

Shallow water can cover ditches, manholes, access hatches to basements, etc.
 Covers to manholes and access hatches are frequently lifted off by the power of

the water, leaving a deep hole into which the unsuspecting can fall. **The use of testing sticks is mandatory.** 

- The wearing of waders is not permitted.
- All employees should avoid entering floodwater unless this is a requirement of their role, and should not do so unless the correct person protective equipment is available e.g. Wellington boots. It is advised that should entry be necessary into flood water that the level of water does not go above half way up the Wellington boot.
- Floodwater may be contaminated. There may be overflows from sewage treatment plants, or the water may have been contaminated with chemicals from industrial or agricultural premises.
- Contaminated flood water can carry Weil's Disease, which originates in the urine
  of female rats. This disease is usually contracted through cuts or scratches and
  can be fatal if not correctly treated. The initial symptoms are very similar to flu. If
  employees experience flu like symptoms, it is vital that they inform their GP that
  they have been in contact with flood water, as Weil's Disease is rare and may
  not be correctly diagnosed in the first instance.
- Water will conduct electricity. If the power has not been turned off, there is a
  possibility of electric shock. One indication of the presence of live electricity in
  floodwater is a sensation of vibration. If this is experienced, withdraw
  immediately.

Further information is available from the Operational Flood Response Plan which can be found on the Council's intranet via Our Council/Emergency Planning



### **Broxtowe**

# Communications and Engagement Strategy

2018 - 2021

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#### Introduction

Good communications is essential to achieving our ambitions, as well as ensuring that the people in Broxtowe, our employees and our Members are kept informed and have a clear understanding of what we do, how and why we do it and why we will need to do things more efficiently and effectively in the future.

This strategy outlines how we are going to manage our communications and engagement activities over the next three years. It aims to help us ensure that communication between the Council and the people and organisations that we come into contact with is effective.

In this way, we will support the delivery of the Corporate Plan and Business Plans to promote a shared understanding of our values, ambitions and performance among our key audiences and stakeholders. We will adapt to the changing context we are operating in to make sure that Broxtowe is "a great place where people enjoy living, working and spending leisure time."



Councillor Richard Jackson, Leader of the Council

# Scope

Communications is essential to the delivery of the Council's services. It helps keep people informed and supports service take up, transformation programmes and reputation management, as well as delivery of the Council's Corporate Plan and priorities.

#### **Approach**

With the financial pressures facing local government, a strategic approach will be taken to ensure that communications activity delivers outcomes which are aligned to the Corporate Plan, vision and values, as well as efficient and effective service delivery.

This includes focusing our attention as an organisation and as a Communications Team on the things that will bring most value to the people we serve.

Work on internal communications will support this by ensuring that our employees understand our ambitions and can act as advocates of the Council when interacting with residents and external stakeholders.

Continuous evaluation will take place to meet the scale and pace of change in Local Government and annual reviews will be carried out to ensure we are moving in the right direction.

#### Alignment to the Corporate Plan, Vision and Values

The Communications and Engagement Strategy supports the Council's vision and Corporate Plan by promoting what we do, why we do it and how we need to adapt to the challenges we face.

The Council's vision is:

"Broxtowe...a great place where people enjoy living, working and spending leisure time."

Its priorities are:

th Ho	ousing	A good quality affordable home for all residents of Broxtowe.
В	usiness Growth	New and growing businesses providing more jobs for people in Broxtowe and improved town centres.
EI EI	nvironment	The environment in Broxtowe will be protected and enhanced for future generations.
<b>₩</b> He	ealth	People in Broxtowe enjoy longer, active and healthy lives.
Co	ommunity Safety	Broxtowe will be a place where people feel safe and secure in their communities.

#### Its values are:

- A strong caring focus on the needs of communities.
- Innovation and readiness for change.
- Valuing employees and enabling the active involvement of everyone.
- Continuous improvement and delivering value for money.
- Integrity and professional competence.

#### Our stakeholders

Stakeholders are the people we will need to communicate with to achieve our aim.

#### They include:

- Our residents and service users.
- Our employees.
- Our Elected Members.
- Partner bodies/organisations.
- Our business community and potential investors.
- Local groups and forums.
- People who help inform and influence the opinion of others.

## Context

A number of facts and figures have helped shape the strategy:

#### The National Picture

- According to the OfCom
   Communications Market Report 2017,

   88% of households are connected to the internet and 66% use the internet on a mobile phone.
- The report also suggests that 89% use their mobile phone to check email, 83% for instant messaging, 80% for using social media sites and 71% for traditional mobile messaging e.g. SMS/MMS.
- YouGov research which forms part
  of the OfCom Report shows that
  the most popular social media site
  to belong to, or use, is Facebook,
  with seven in ten (72%) UK adults
  claiming that they either use and/ or
  have a profile on this site.
- According to figures from the Audit
  Bureau of Circulations (ABC),
  there was an average decline in
  print circulation of 11.2% for local
  weekly newspapers in the UK
  in the second half of 2016, and
  12.5% for local dailies. By contrast,
  newspaper website visitors increased
  significantly.
- Austerity measures introduced by the Government and their impact on local authority services.

 Research from the Hay Group which suggests that employees who are more informed and engaged at work are more productive.

#### The Local Picture

- 150 press enquiries received on average each year.
- 140 press releases issued in 2017, all of which were used by at least one local media outlet.
- The Nottingham Post website received an average of 92,122 unique visitors each day.



 The Council's Facebook page has over 3,000 likes and our Twitter page has over 7,000.

- The Council and LLeisure have a combined total of over 23,000 subscribers to the Email Me Service. In a recent survey of users, 90% of respondents rated it as excellent or good, 94% said it made them feel more informed about the Council and 45% said they were less likely to contact the Council through other channels thanks to receiving an email bulletin.
- In the most recent budget consultation 63.48% were very satisfied or satisfied with the way in which the Council delivers services, 74% said they were very satisfied or satisfied with their local area as a place to live and 46% felt that the Council listens to them.
- In the same consultation, the most preferred way to contact the Council was by email, followed by phone, the web and face to face.
- The monthly employee e-newsletter, Broxtowe Employee News, has a unique open rate of 79%.
- The monthly Members email bulletin, Members Matters has a unique open rate of 27%.

- In 2017/18, over 354,490 online transactions were made on the Council's website and 42,335 online payments.
- The Council's Digital Strategy and the People Strategy.
- In January 2018, the Communications
  Team invited the Local Government
  Association to carry out a
  'health check' on the Council's
  communications activity and the
  recommendations made have also
  helped inform this strategy.

#### Consultation

Views from key stakeholders have also been sought through:

- Account management meetings with all Council departments.
- The Council's Internal Communications Group.
- Consultation with Members.
- Consultation from forums including Disability Forum and Resident Involvement Group.

# Our story – where are we now?

Since the previous strategy was implemented in 2015, progress has been made in a number of areas and the Corporate Communications Team was shortlisted for Best Small Comms Team in the Comms2Point0 awards in December 2017.

Media Management	<ul> <li>Managed the Council's reputation effectively through a number of significant service changes and challenged incorrect media reports. Statistics show that 100% of our press releases are published at least once in print or online.</li> </ul>
Web and Digital	<ul> <li>Introduced a new top-task driven website to make it easier to do things online.</li> <li>Continued to drive channel shift through web service design and on-going promotion to help drive a 43% increase in online transactions since 2015 (354,490 in 2017/18) and a 132% increase in online payments.</li> <li>Received a 3 star rating in the Soctim Better Connected Survey 2016/17.</li> </ul>
Consultation and Engagement	<ul> <li>Established the Email Me Service which now has over 23,000 subscribers and which consistently records engagement rates which are well above average for local government at 78.4% compared to 57.2%.</li> <li>Used social media and the Email Me Service to increase consultation and engagement – 46% increase in responses achieved in the 2017 budget consultation.</li> <li>Graphics used to present information in a more engaging and accessible format e.g. Corporate Plan, performance, videos on the budget and refuse changes.</li> <li>Delivered an annual programme of high quality, cost effective community and civic events including Remembrance Parades, 90th birthday celebrations, Freedom Parades and the Charity Ball.</li> </ul>
Brand	<ul> <li>Delivered a number of high profile campaigns to support service changes.</li> </ul>

Internal Communications	<ul> <li>Established an Employee Internal Communications Group to help improve internal communications. The group have helped introduce new initiatives, including an Employee of the Year Award to recognise the contributions of our employees, as well as a new, more regular version of the Employee Newsletter which achieves an average open rate of 79%.</li> <li>Introduced a protocol for Member/Officer communications.</li> </ul>
Marketing	<ul> <li>Delivered a number of high profile campaigns to support service changes. Delivered marketing campaigns including electoral registration, behaviour change such as encouraging more online take up of the garden waste subscription service and increasing consultation responses.</li> </ul>
Efficiency	<ul> <li>Made significant cost savings thanks to a new print procurement framework (£13,000), ran cost neutral Mayor's Charity Balls, making a small profit for the charity in some years, and consistently making small day to day savings to deliver more significant annual savings.</li> <li>Generated nearly £6,000 in advertising revenue through Broxtowe Matters to offset the costs of producing it.</li> </ul>

# Our Future – Strategic Objectives



#### **Measuring success**

These objectives will be supported by clear, outcomes based methods to benchmark and evaluate success.

## Fit for the future

# Communications which continually adapt to new challenges and technologies.

As the way we communicate as a society continues to change as the media landscape shifts from traditional media to social and digital media, the Council needs to ensure its communications adapt and can still reach stakeholders. This includes supporting our residents to do things digitally, as well as continuing to reach those who aren't online. Financial challenges are also an important factor in service delivery and communications services need to be continually reviewed to ensure they are cost effective and fit for purpose. They also play a key role in helping residents and employees to understand the challenges we face.

#### **Actions**

- Review the Design and Print service to ensure it continues to provide value for money and encourage the use of digital methods where appropriate.
- Continue to review Civic processes and procedures annually to ensure we provide value for money and benchmark the service to gain a better understanding of how to improve.
- Open up social media for business use to all employees to enable them to better understand how their services can take advantage of digital communications channels as an important tool for engaging with residents.
- Review the way service requests on social media are processed to ensure efficient service delivery, including joint working with Customer Services.
- Re-establish an Internal Web Group to drive new developments, share best practice for the Council's web presence and help achieve 3 stars or higher in the annual Socitm Better Connected Survey.
- 6. Continue to generate income through advertising in Broxtowe Matters and explore new opportunities via the

- Email Me Service and digital display advertising.
- 7. Use behavioural science techniques to deliver behaviour change campaigns.
- 8. Investigate options for live streaming Council meetings to encourage participation in local democracy.

#### Measuring Success

- Reduction in print spend.
- Regular benchmarking against neighbouring authorities.
- Increase in the number of media interviews the Council accepts.
- Performance in the Soctim Better Connected Survey.
- Increased number of online services and monthly take up of these services.
   Reduction in Officer time to deal with social media enquiries and shorter response times for customers to agreed targets.
- Carry out an annual survey of channel awareness amongst residents and use results to benchmark and set targets.
- Survey residents to determine if they think the Council is fit for the future and use the results to establish benchmarks and set targets.

# The responsibility of all

# Employees understand that we all have a responsibility for communications and have the tools to deliver it.

Communications goes far beyond the output of the Communications Department and each phone call, email and face to face interaction with stakeholders has the ability to shape their perception of the Council and what it is trying to achieve.

Employees are our biggest asset and creating clear, consistent and effective communications channels with them will have a positive impact on our external relationships and reputation.

#### Actions

- Produce Corporate guidance on Communicating internally to ensure that there are clear expectations set out for how employees can expect to be kept informed and engaged as well as how they should communicate with other staff.
- Provide Manager Briefings for all significant corporate changes so that Managers have the tools to communicate the right messages to their teams.
- Increase opportunities for face to face engagement with service areas to help them feel engaged with service delivery and planning.
- Work with HR and Managers of dispersed workers e.g. Refuse, Housing Repairs, Retirement Living, Cleaners to ensure that they feel informed and engaged with the organisation.

- 5. Work with HR to re-establish an annual employee satisfaction survey to benchmark how well informed employees feel and their understanding of the vision, values and priorities.
- Review the Internal Communications
   Group to ensure it is fit for purpose
   including reviewing membership
   and establishing a work programme
   to help deliver elements of the
   strategy. Introduce clear mechanisms
   for feedback to help benchmark
   improvements.

#### Measuring success

- Annual Employee Satisfaction
   Survey results to include questions on internal communications.
- Feedback from the Internal Communications Group.

## One organisation, one voice

# A clear and consistent brand and tone across the authority.

Presenting Council services in a reliable, consistent and recognisable way helps build customer awareness of the authority and the services we provide. A consistent tone is also important to ensure that internal and external stakeholders have the right perception of the Council.

#### **Actions**

- Rationalise the Corporate style guide to reflect the ethos of 'one organisation, one voice' and ensure it is easily adaptable for the needs of multiple channels.
- Produce a toolkit for employees
  to include templates to support
  the Corporate style, as well as
  communications templates and
  guidance for different communications
  channels and positive and negative
  news.
- Create a 'design brief' form for employees when procuring design work from the Council's in-house facility or external suppliers to ensure that all artwork meets good marketing practice and also reflects the Council's brand values and tone.
- Promote the 'Communications For All' principles to ensure that all communications (internal and external) meets the Council's standards and reflects its brand and tone.

#### 'Communications For All' Principles

Focused - clear, concise and jargon free.

Open – communications should be factual, accurate, reflect the position of the Council and be approved by relevant Senior Managers.

Relevant – communicated to the right people, at the right time, in the right way and be informative and useful.

Accessible – easy to access through appropriate channels and in a variety of formats suitable for those with disabilities and inclusion needs.

Listening – provides opportunities for feedback and two-way conversations wherever appropriate.

Linked up – internal stakeholders and partners should hear about changes or issues before they are reported by a third party or in the media.

#### Measuring success

 Carry out a channel and content review to establish the current position and use this data to set more challenging improvement targets.

## Communicating our vision

# External and internal stakeholders understand our vision and how we are going to achieve it.

In the current climate, it is especially important that our residents, employees and other stakeholders are clear on the challenges we face and how we plan to tackle them.

Internally, our employees are more likely to succeed if they have a clear understanding of what the Council is trying to achieve and how they contribute to this.

Externally, visual communications through graphics and video is becoming more and more popular and it's important that the Council invests in these channels to ensure that residents of all backgrounds, ages and interests can understand why we do what we do and how we do it.

#### Actions

- Identify ways to better embed the vision and values as part of the Council's organisational culture.
- Take a more proactive approach to identifying good news stories and preempting potentially damaging ones.
- 3. Develop a strong strategic narrative to ensure that employees understand the role they play in achieving the Council's vision. Develop an annual marketing work programme which aligns with key projects in the Council's Business Plans to ensure that Communications efforts are focused on supporting the objectives of the Corporate Plan.
- Continue to use digital channels for storytelling through infographics, animations and videos to engage with residents in an accessible way.

- Consider options for engaging with social media groups and influencers to help increase opportunities to promote our work to people who may not be in our networks.
- 7. Introduce briefing packs and workshops for Members on all significant corporate changes to ensure they have the tools to deliver key messages to residents on what the Council is doing.
- 8. Provide training for Members,
  Committee Chairs and Senior
  Officers on dealing with the media to
  ensure that opportunities to promote
  the Council and help residents
  understand our decisions are taken
  advantage of.

#### Embedding the values

Recently a mnemonic has been introduced to help staff understand the values more easily







# Going the extra mile

a strong caring focus on the needs of communities

# Ready for change

innovation and readiness for change

## **EMPLOYEES**

valuing employees and enabling the activeinvolvement of everyone

### Always Improving

continuous improvement and delivering value for money

## **T**ransparent

integrity and professional competency

#### Measuring success

- Media coverage KPIs.
- Results and evaluation of marketing campaigns.
- Produce a breakdown of engagement rates by platform and measure improvements bi-annually.
- Spot surveys of employees to gauge current understanding of the vision and priorities and set more challenging target rates. Re-measure

bi-annually. Include questions about understanding of the Corporate Plan and what the Council stands for in an Employee Satisfaction Survey.

 Survey residents to identify the current level of understanding about what the Council is trying to achieve and the challenges it faces and use the data to establish improvement targets.

## Two-way communications

# A 'listening' Council where communications present opportunities for conversation and engagement.

It can be easy for organisations to broadcast communications messages without engaging with stakeholders, listening to what they have to say and involving them in service planning. By offering opportunities for conversations and feedback, the Council will gain better insight into what matters to residents and develop services accordingly.

#### Actions

- Secure ShawTrust accreditation in 2018 for having an accessible website
- Review how social media comments inform consultation exercises to ensure the engagement is twoway and that views are taken in to account.
- Devise processes to collate equalities monitoring data across the Council to provide better insight as to who is engaged with the Council and who is not, as well as to inform audience profiling and targeted communications
- Improve 'you said, we did' reporting to show that we are a listening Council who values the views of its stakeholders.

- Work with departments to better engage hard to reach groups such as young people, disabled people and black and ethnic minority groups.
- Review and develop face to face engagment opportunities including Community Action Teams, Resident Involvement Groups and Council meetings.

#### Measuring success

- Produce a breakdown of engagement rates by platform and measure improvements bi-annually.
- Increased participation in consultations.
- Increase attendance at face to face meetings

ਜੇਕਰ ਤੁਸੀਂ ਇਹ ਲੀਫਲੇੲਟ ਕਿਸੀ ਹੋਰ ਭਾਸ਼ਾ ਜਾਂ ਫੌਰਮੈਂਟ ਵਿੱਚ ਲੈਣਾ ਚਹੁੰਦੇ ਹੋ ਤਾਂ ਕ੍ਰਿਪਾ ਕਰਕੇ 0115 9177777 ਤੇ ਸਾਡੇ ਨਾਲ ਸੰਪਰਕ ਕਰੋ।

如果你需要此傳單用其他的形式或文字寫成,請淺電話 0115 917 7777 與我們 聯絡.

اگرآ پ چاہتے ہیں کہ یہ لیف لیف آپ کو اُردوز بان میں مہیا کیا جائے تو براہ مہر بانی فون نمبر:۔ 0115917777 پر رابط کریں۔

If you need this leaflet in other formats or languages contact us on 0115 917 7777

# This document is available in large print upon request



ign up for the latest news, events, updates and more, all direct to your inbox by subscribing to our Email Me Service at

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Broxtowe Borough Council Council Offices, Foster Avenue, Beeston, Nottingham NG9 1AB

Tel: 0115 917 7777

www.broxtowe.gov.uk



## **Broxtowe Communications**

# Toolkit





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## Welcome and meet the team

#### Welcome to the Broxtowe Communications Toolkit

This toolkit is a practical resource to help you promote your service area and develop clear, effective lines of communications with our residents, local businesses, Elected Members, fellow employees and other stakeholders.

It's not just written or visual communications which leave an impression about the Council, but also how we conduct ourselves on the phone or in person. Good communications is essential to ensuring that you, our employees, along with our residents and Elected Members are kept informed and have a clear understanding of our ambitions and the challenges we face.

The Communications Team is always available to support employees and Members with communications issues.

Just drop by for an informal chat or contact us on the following details:



Sarah Yates
Corporate Communications Manager
sarah.yates@broxtowe.gov.uk or
press@broxtowe.gov.uk
0115 917 3825



Richard Kish
Communications and Content Officer
richard.kish@broxtowe.gov.uk or
press@broxtowe.gov.uk
0115 917 3684





What support can we offer? The Team can help you:

- Create a Communications or Marketing Plan
  - Prepare content e.g. press releases, articles, newsletters, social media, Email Me bulletins
- Respond to media enquiries
- Create promotional material which is on brand

 Use plan English and avoid jargon

П

- Set up online forms
- Create consultation plans
- Take and procure photography
- Procure graphic design work
- Film videos
- Advise on all communications issues

## **Communications Standards**

Whilst each department will communicate to different audiences, a consistent tone across the Council is important to ensure that internal and external stakeholders have the right perception of the Council and that we communicate in one voice, as one organisation.

To help with this, some 'Communications For All Principles' have been devised to give you a checklist to measure any communications against.

### 'Communications For All' Principles

Focused - clear, concise and jargon free.

Open – communications should be factual, accurate, reflect the position of the Council and be approved by relevant Senior Managers.

Relevant – communicated to the right people, at the right time, in the right way and be informative and useful.

Accessible – easy to access through appropriate channels and in a variety of formats suitable for those with disabilities and inclusion needs.

**Listening** – provides opportunities for feedback and two-way conversations wherever appropriate.

**Linked up** – internal stakeholders and partners should hear about changes or issues before they are reported by a third party or in the media.

#### **POLICY**

The Council must adhere to the Code of Recommended Practice on Local Authority Publicity 2011. It states that publicity by local authorities should:

- be lawful
- be cost-effective
- be objective
- be even-handed
- be appropriate
- have regard to equality and diversity

 be issued with care during periods of heightened sensitivity.'

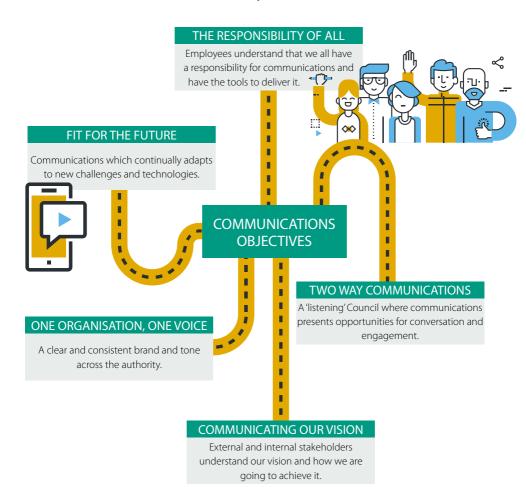
The full Code can be read on the intranet at



intranet.broxtowe.gov.uk/ publicitycode

### Communications objectives

To help ensure that our communication with the people and organisations we come in to contact with is effective and that communications activity supports the delivery of the Corporate Plan and Business Plans, there are five communications objectives:

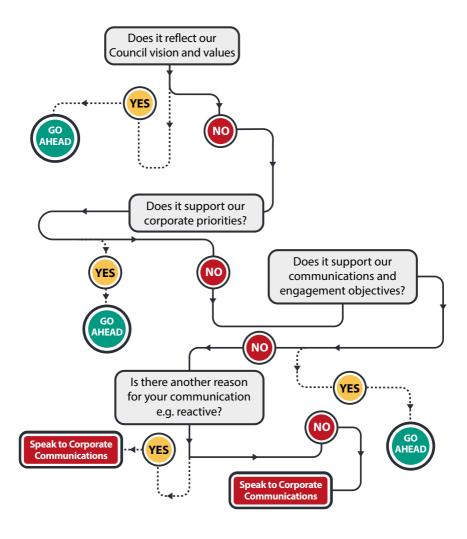


## What communications do I need?

# Before you think about creating content, you should ask yourself the following questions.

Use the flow chart below to see what you need. If you get 'Go ahead' then the pages in this toolkit will help you to produce effective communications which are right for your audience and your aims.

If you don't, you should contact Corporate Communications for advice about what you're trying to achieve



## **Communications Planning**

A Communications Plan is not always needed for smaller projects but regardless of whether your communications activity is in the short or long term, you should always ask yourself some key guestions to increase its effectiveness.

### Who, what, where, when, why and how?

VHO

#### Who is the communication aimed at?

You should be as specific as you can about your audience so you can reach them in a way that they are more likely to be receptive to.

VHAT

#### What is the communication designed to achieve?

You should have a clear aim as your starting point for any communication.

HE

#### Where will you reach your audience?

What channels do they use and respond to? If your audience is wide then you should think about a mix of channels to match their different preferences.

WHEN

#### When do you need to deliver the communication by?

What are your timescales and key dates – if you need support from Corporate Communications or Design and Print, please notify us as early as possible otherwise we may not be able to fulfil your request.

NΗΥ

#### Why is the communication important?

How does it link in to our wider communications objectives, Council vision and priorities?

**№** 

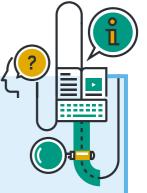
#### How you're going to do it

What content are you going to create or commission from Corporate Communications, what are your key messages, what resources do you have? Always check your content against the 'Communications For All' Principles.

# Not sure what you're trying to achieve? Think about...

- Imparting knowledge
- Building an image
- Shaping attitudes

- Encouraging action
- Stimulating want or desire



## Our existing channels

Some of our existing channels which you can consider include:

EXTERNAL	INTERNAL	
Broxtowe Matters	1-2-1s	
Consultation	Broxtowe Matters	
Email and Letters	Emails	
Email Me Service	Intranet	
Events	Members Matters	
Face to Face	Other briefing and workshops	
Leaflets and promotional material	Screensaver	
Press Release	SMT Briefing	
Public Meetings	Team Meetings	
Social Media including Facebook, Twitter, Linkedin and Youtube		
Tenants Matters		
Web		

This isn't an exhaustive list – you know your customers best so if you have an alternative way to reach them, let us know!



## Developing a Communications Plan

If your communications is to support longer term or strategic projects then a Communications Plan is essential to helping you achieve your aims.

## Who, what, where, when, why and how?

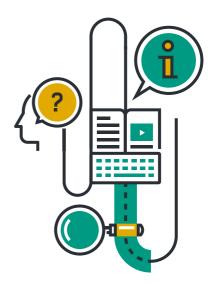
You should still use the 5ws (and h) to help you create a Communications Plan but will need to think about them in more detail.

#### Think about why

- Set the scene for where you are and where you need to be, bring in any research or data you have to support this and link back to the Corporate Plan and priorities.
- Create a set of SMART aims which clearly set out outcomes and impacts, not just what channels you're going to use.
- Think about what data supports or informs the objectives e.g. market trends, sector reports, good practice, research, consultation data.

#### Think about what you're going to do

- What are your key messages? Make sure they stick to the 'Communications For All' Principles. Be consistent – messages need to be repeated if they are to sink in.
- Create an engaging content plan tell stories and create material that is memorable.
- Always have your calls to action in mind what do you want people to do?
- Channels research your audiences to see what channels you're 'find' them on, which platforms you will engage with and who or



what their influences are. You should always start with the audience group and build your channels and content around them, not the other way round. It may help to group them by what they have in common e.g. geographical, demographical, interests

• Set your timeline - be realistic and divide it into preparation, implementation and evaluation. Include your key milestones.

#### Resources

 Factor in people, time, access to channels and budget. Assign tasks at the start and be and honest about the likely returns you can achieve with the resources you have.

#### **Evaluate**

 Evaluate based on communications objectives, record quantitative and qualitative impact, share results, write up case studies. Celebrate success and learn from mistakes.

## Communications Planning Help Sheet

## Use this sheet to help you map out your communications

This will form a good basis for a discussion with the Communications Team about what support you need and how we can help.

Once you've completed this stage, you can use the Communications Plan Template to outline what activity will take place, what resources you need and how it will be measured.

Who	
Who are your audience? What research do you have about them?	
Do you know what channels they use	
What	
What is the communication designed to achieve? What are your SMART objectives?	
Where	
Where will you reach your audience? Do you know what channels they use	
When	
What are your timescales? Do you and the Communications Team have resource available to meet these timescales? Are there other factors which may influence them e.g. Committee decisions, work in another department?	
Why	
Why is the communication important?  How does it link in to our wider communications objectives, Council vision and priorities?	
How	
What content are you going to create? What resources do you have? Does your content meet the Communications For All principles?	

## Key messages ensure your communications is clear and focused

#### How many key messages do I need?

Three is the magic number – it's shown to be an easy number of things to remember and we often group things this way anyway e.g. Gold, Silver, Bronze.

You should always have one primary message, which is the main piece of information you need to get across. You can then support this message with two or three supporting messages.

## Example

#### **Primary message**

Your Council Tax bill is on its way

#### **Supporting messages**

The easiest way to pay is by direct debit You can find out more information on our website

#### **Techniques**

Try It - The PMSA technique can help you think about your key messages - Point, Message, Support, Action.

#### Point, Message, Support, Action

- Point what are you trying to say
- Message how will you say it
- Support is there a story or a fact to support your message
- Action is there a call to action

#### Writing your content

The Communications Team can support you in creating content but if you're writing your own or providing a brief, you should bear in mind:

- The 'Communications For All' Principles
- The channel it will be delivered through

   a message suitable for an advert won't
   necessarily work in a video or a newsletter
   article.
- Use numbers to help you tell your story but make sure they're understandable to the audience.
- Adapt as your campaign progresses, your messages will need to adapt to take responses in to account.

#### **Testing**

Testing messages ensures they will be understood by your audience. Corporate Communications can help or try someone outside of your service area who may not understand your processes or terminology.



### Key Message Helpsheet

#### STEP 1 - Primary message

What is the most important thing that you need your audience to take away or do

#### STEP 2 - Secondary messages

What other points do you need to get across?

#### STEP 3 – The power of three

Looking at your secondary messages decide which two are the most important and put these together with your primary message to give you your three key messages.

#### STEP 4 – Tell the story

Think about how you can communicate your message:

- Point what are you trying to say
- Message how will you say it
- Support is there a story or a fact to support your message
- Action is there a call to action

#### STEP 5 - Draft your messages

Why is the communication important?

How does it link in to our wider communications objectives, Council vision and priorities?

#### STEP 6 - Test and check

Do they meet the Communications For All principles? Why not ask someone else who isn't familiar with the subject to test them for you?

## Engagement

#### **Human interest**

Stories about people attract more interest and are a relatable way for residents to understand what we're doing. You can use what goes on behind the scenes or residents who are being helped project to tell the story.

#### **Facts and figures**

Facts and figures are useful but put them in 'human scale' e.g. Residents may not be able to understand what £250,000 worth of savings looks like, but they may understand saving £2.20 per resident by introducing e-billing.

#### Appeal to emotion

The more you appeal to the emotions of your audience, the more likely they are to remember the message. This doesn't always mean tears – emotions can be anything from laughter to empathy.

#### **Photography**

The Council uses a professional photographer to help support promotional work. The Communications Team is also able to take images for smaller scale projects.

#### **Graphics**

Visual aids may help specific audiences understand complex information. Infographics are good when there are lots of facts and figures. Artwork can also help with promotion e.g. posters and adverts.



There's more advice about procuring design work and the Corporate Style Guide on page 12.

#### Video

Videos can be professionally produced for promoting services but are just as good in a more 'raw' form, shot with a mobile phone and talking to the people at the heart of the action.

#### Why not try?

- Filming an event to show the live action
- Speaking to Officers whilst they're out and about on duty particularly good at events where you can show the live action
- A testimonial from a resident
- A 'How to' video to explain how to complete a process.

#### The weird and wonderful

There's nothing more memorable than something out of the ordinary so any quirky stories about your service can actually be used as a more engaging way to promote the service

## **Policy**

• Always refer to the Use of Personal Images Policy when taking photographs of people.



https://intranet.broxtowe.gov.uk/personalimagespolicy

 Adhere to copyright laws when using images – we cannot use images we find on the internet if we don't have permission to use them. There are tools to source images if needed.



## Branding and design

Clear use of branding and well designed artwork helps to promote our work effectively and communicate as one organisation, regardless of department.

#### **Corporate Style Guide**

We have Corporate Style guidelines to ensure that our branding is consistently used across the Council and that all of our publications are instantly recognisable as part of the Broxtowe family.

It also helps to build a clear brand for the Council, which can have a positive impact on things like trust and reputation.

The guidelines apply to all internally and externally produced material and include:

- One organisation, one set of branding and 'corporate green', regardless of department or whether its internal or external.
- If we have contributed financially or it is our project, then our branding must appear.
- External organisations are not permitted to use the Council's logo unless they are promoting a Council funded initiative.
- A Design and Print framework is in place for the procurement of these services. All external designers should adhere to these quidelines.
- All design work should be made accessible so it can be easily understood by those with disabilities. This should be made clear to any designer at the start of a project.

The Corporate Style Guide provides full detail, along with acceptable adaptations to the branding for use on different channels.

View the Corporate Style Guide at



https://intranet.broxtowe.gov.uk/ brandinganddesign

#### **Design work**

If you would like some design work to support your communications, you should fill out the online form at



https://intranet.broxtowe.gov.uk/ designandprintform

Once submitted, the form will be emailed to the Design and Print Officer and Communications Team who will assess your request before adding it to the work programme.

#### Remember:

- 1. All content should be approved by a Manager or Head of Service **before** the form is submitted to the designer to minimise the number of redrafts.
- 2. Think carefully about the purpose of the design work and how this fits in with what you're trying to achieve and wider departmental or Council aims.
- 3. Carefully consider what design work you need e.g. do you really need 1,000 printed leaflets or could it be put on the website, social media, email me service etc.?
- 4. Think about different channels whilst a poster will work for a display board. it won't work on social media and the graphics will need to be adapted to suit different channels.
- 5. Have you engaged the Communications Team on this project to see how else they can support your activities?

### We use customer feedback and evidence when making decisions and improving services through formal and informal consultation.

#### **Audience**

As wide a range of people as possible should be consulted. This may mean reaching out in different ways to different groups. Colleagues in other departments or our partners may have insight into working with particular groups.

It's also important to keep Elected Members informed about consultations which affect their residents. As community leaders they have first-hand insight into their areas and can be a useful resource for customer intelligence and to sense check the best ways to engage their constituents.

#### **Audience checklist**

- Customers / service users of all ages and backgrounds
- Non-users (ex-customers, people who may need the service at a later date, e.g. people who are unaware etc)
- Members, particularly Group Leaders, Committee Chairs and appropriate Ward Members
- Parish & Town Councils
- MPs
- Council employees
- Schools
- Other authorities
- Voluntary and community groups
- Businesses (service users, landlords, businesses affected by changes etc.)
- Broxtowe Youth Voice
- People representing others (carers, parents, advocates etc.)

#### Be inclusive

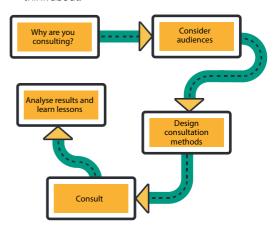
To make sure you are consulting fairly, remember that you will need to reach out to different types of people in different ways. Baffling jargon, slow results and certain processes will put off some people so you may need a different approach.

#### **Timing**

Timing our consultations carefully helps to avoid duplication and 'consultation fatigue'. This may mean joining up with other teams on consultation activity where we may be trying to reach similar audiences or avoiding times when people may not be available e.g. a consultation to a school during school holidays.

#### **Planning**

When planning a consultation, you should think about:



#### **Give feedback**

By letting people know what was said and what has changed as a result, you're giving them a reason to have their say in a future consultation.

#### **Evaluate**

Through evaluation you can find out what did and didn't work, and learn lessons. Think about the following:

 How many people took part? Are the responses representative?

- What did participants think of the process? How can we ask them?
- Were there any unanticipated outcomes from the consultation?
- What would we do differently next time?
- Did the consultation meet the objectives set at the start?
- Was there an impact on decision making?
- Who else might find this learning useful and how can we share it with them?

## **Policy**

- The Council is committed to providing equal opportunities so any consultation activity should be done in a way that is accessible.
- All our consultation activities comply with GDPR
   https://intranet.broxtowe.gov.uk/gdpr
- Be aware of the Rights of Access set out in the Freedom of Information Act and how this
  may relate to any information produced as a result of your consultation.
   https://intranet.broxtowe.gov.uk/foi
- An Equality Impact Assessment may help you to understand who you need to reach
   https://intranet.broxtowe.gov.uk/eia
- All consultations should be listed on our website at www.broxtowe.gov.uk/consultations, as should the results. Email webteam@broxtowe.gov.uk for help with this.

## **Consultation Methods**

Some of the consultation methods you can use include:

- Involvement in existing public meetings and committees
- Public or 'town hall' meeting called for specific topic
- Meeting / user forum for existing group
- Face to face events / roadshow
- Paper based survey / flyer
- Email survey

- Telephone survey
- Web based survey
- General invitation for comment, promoted through existing channels
- Feedback via staff
- Feedback via Community Mobilisers
- Social media
- Comments and complaints, including petitions.

- Pictures and drama (art walls, digital camera photo story, role play sessions)
- Mystery customers

A handy guide detailing the advantages and disadvantages of each can be found at ADD LINK.

### **Consultation Plan**

Use this template to help you plan your consultation. An electronic version is available at



#### https://intranet.broxtowe.gov.uk/consultations

Template consultation plan	
Consultation plan: Prepared by: Supported by:	[consultation name] [name of lead officer] [name of communications officer]
Objectives	
What needs to be decided? What's the origin of the issue? What information is to be sought?	
Audiences	
Who will make and influence the decision? Who will be affected by the consultation? What are the starting positions and expectations of these audiences? What other groups can help you reach audiences?	
Methods	
What are your audiences' preferred communications routes? Is there more than one way for people to have their say? How should you comply with GDPR? Do you have enough resources to consult / undertake specific promotion? How will you capture the results, so nothing is missed?	
Timing and milestones	
Why is the consultation taking place at this time? What other consultation is going on? Is there enough time for realistic consultation, including for community representatives to pass information on? Is there enough time to make whatever changes may be needed?	
Results	
Are the outcomes clear?  How will results be gathered / used / fed back to those who took part in the consultation?	
Evaluation	
How will you evaluate if the consultation process was successful and achieved its objectives?	

## **Internal Communications - Employees**

Internal Communications is more than just written communications. Day to day interactions with other employees, team meetings and 1-2-1s also contribute to making sure we are all informed and understand our role and how it fits in to what the Council is trying to do.

#### Is it worth the effort?

Yes! Good internal communications results in a happier, healthier workplace with more motivated employees who will give great service to our customers.

Keeping each other informed will ensure that:

- we're clear about what we should be doing and why – making the Council more effective and efficient.
- we know what pressures we face that are beyond our control.
- we'll be more ready for change.
- we'll create an positive environment to share ideas for improving services.
- we'll make sure our customers are kept well informed across Council services.

#### **Top Tips**

The same principles apply as for external communications – think about your who, what, where, when, why and how, as well as the 'Communications For All' Principles.

#### You should also think about:

- Be you Keep the tone and language conversational and personal – other employees know you so be professional but also 'you'.
- Use of words If you're asking people to do something that everyone needs to,

don't make it sound like you're exempt - use phrases like "We need to..." rather than "You need to..." and definitely avoid "All staff must..." But avoid the opposite end of the scale too. Really informal and jokey won't help get a message across and one person's joke can be another's insult – so it's best to avoid. You might need to work at getting the informal tone right, but it's worth it.

- Body language Body language is a way to interpret what others are saying so be aware of this during face to face meetings.
- Cynicism If you're a bit of a natural cynic be aware of it as it can rub-off on others.
   Your tone and enthusiasm for something will guide people in deciding how much effort they put into it.
- Stay up to date yourself if you're a Manager make sure you read updates e.g. intranet, Broxtowe Employee News, SMT briefing, screensaver messages etc. so you can update your team accordingly and encourage your team to read our internal channels too.
- Make it easy Make sure people know how they can ask further questions after the initial briefing and respond to any questions promptly.
- Listen great internal communications is a discussion so listening is just as important

as communicating. Build in a way for people to be part of a discussion even with written communications. Invite replies, ask specific "what do you think?" questions and when people do respond always make the time to acknowledge it.

 All staff email - sometimes there can be all staff email overload, so use Broxtowe Employee News wherever possible or speak to Communications before sending something to all staff as they may have an alternative way to help you get the message out.

#### **Sharing stories and success**

- Hearing about wider success and how employees are living out our 'GREAT' values helps spread good practice, inspires and motivates.
- Don't be shy about thanking individuals

   use the Shout Out's in Broxtowe

   Employee News and on the intranet to give a virtual 'pat on the back' and send in nominations for Employee of the Year.

#### **Internal Communications Group**

An Internal Communications Group
was established in 2016, made up of
representatives of all levels from across
the Council and has been responsible for
introducing initiatives like Employee of
the Year and Staff Shout Outs. The group
is being reviewd to ensure it is effective
and anyone is welcome to join to help
us build on and improve our internal
communications channels. If you're
interested, contact Sarah Yates.



## **Policy**

It is expected that all Managers will pass information on to their teams in good time and ensure they are kept up to date.

#### One size doesn't fit all

We should also remember that not everyone has access to email and that everyone responds to different types of communication so you should try and share information in a number of different ways.

#### For example:

- Pick out highlights from the SMT Briefing to discuss at your team meetings.
- Making sure that employees without computer access as still able to receive information and updates.
- Making them aware of important changes that are coming up.

### Tools

- Team meetings
- Briefings and workshops
- SMT
- 1-2-1s
- Drop in sessions
- General conversations with colleagues
- Broxtowe
   Employee News
- Intranet
- Fmail
- Leaflets
- Briefing packs
- Video
- Posters for communal areas



## **Internal Communications - Members**

As decision makers, it's important to develop strong working relationships with Elected Members and keep them informed and engaged about what we're doing.

#### **Members Matters**

Including content in our monthly Members Matters email bulletins is a quick and easy way to provide updates to Members on issues which aren't sensitive or confidential.

If you'd like to submit content for Members Matters, email press@broxtowe.gov.uk.

#### Face to Face

Face to face contact is also important and can give Members an insight into the day to day working of your department. Heads of Service regularly meet with Committee Chairs as part of the Committee cycle and to keep them up to date with upcoming issues. Some departments have also been proactive in inviting their Committee Chair to come and spend a day with them and see what they do.

Workshops can also provide opportunities to inform Members about significant changes or new policies.

#### Briefings

Members act as a key communications channel between the Council and local residents, so providing them with briefings and information packs can help ensure that clear and consistent messages are passed on.

Many use social media or send newsletters so pre-written content about service delivery can also help us get the right message out to residents.

Members are sent copies of all of the press releases we issue, are kept informed about press enquiries in their Wards and we work with Committee Chairs on how best to prepare for media interviews.

## **Policy**

There's a formal protocol which should be followed for communications between Members and Officers, outlining who you should keep informed and when.

#### It includes:

- Anything which is likely to generate adverse publicity for the Council.
- A mistake or error (alleged or proven) on the part of the Council which has adverse implications.
- A success or positive development which may receive positive media interest.
- A public campaign or individual campaign which may generate publicity.
- A matter on which an MP has expressed an interest which seems of more than usual significance.
- A financial issue positive or negative

   which may impact on the Council's
   finances.
- A decision of an external agency which may impact on the Council.
- Disputes or allegations about policy or administrative decisions which may receive media attention.
- Making them aware of important changes that are coming up.

## Help! It's All Gone Wrong!

Inevitably, there will be times when things don't go to plan or we find ourselves in the media for the wrong reasons. Here's what to do to make sure that we respond appropriately.

#### Don't panic

The most important thing to remember is Don't Panic! The Communications Team are trained to deal with these issues and will work with you to find the best course of action.

#### **Call Comms**

Make sure you inform Communications as soon as possible if you are aware of a potentially damaging situation which has or is likely to occur. It is much easier for us to deal with something if we can prepare, rather than playing catch up to the media later. You should also make your Manager or Head of Service aware who can escalate to GMT and Members if required.

#### Think fast and think facts

If we ask for information relating to a press enquiry for your approval, please respond quickly, otherwise we risk our side of the story not being published in the media. Journalists work to tight deadlines and most of the time a response is required within a few hours.

Gather all the facts together as quickly as you can – think who, what, why, when, where and how. This will help us to work with you on any response. If there are developments, make sure you keep interested parties updated –

this will help us avoid any inconsistencies in our response.

In these situations it's easy to provide a more emotive response. Whilst it's important we're empathetic, sticking to the facts is advisable to avoid further upset or lack of clarity over what we're saying.

#### **Data Protection**

Always ensure that we are compliant with data protection laws in any response we give. This may mean a simple statement to say that we are aware of the issue but can't comment on individual circumstances.

#### Don't take the bait

If a journalist calls, don't get drawn into a discussion as they may try and trip you up. Simply refer them to the Communications Team or your Head of Service. Never say 'No Comment' as this can be seen as sign of quilt.

#### Stay positive

There is often a way to turn a negative story into a positive story, so make sure you let us know about the positive things you've been doing in this area or what you'll do as a result of this issue.

## **Policy**

The Council routes all its media enquiries through the Corporate Communications Team and all media enquiries related to the Council should be directed to them. There is also a protocol for Members – Officer Communications which outlines who should be kept information about potential media issues. Read more on page 19 or visit



https://intranet.broxtowe.gov.uk/membercommunication.

### Resources

The following templates, help sheets and policies are available on the intranet, along with other useful information to help with your communications.

#### **Policy**

- Code of Conduct on Local Authority Publicity
  - https://intranet.broxtowe.gov.uk/publicitycode
- Use of Personal Images Policy, template consent forms and photography notices
- https://intranet.broxtowe.gov.uk/personalimages
- Member-Officer Communications Protocol
  - https://intranet.broxtowe.gov.uk/membercommunications

#### Communications

- Communications Planning Help Sheet and Template
  - https://intranet.broxtowe.gov.uk/communicationsplanning
- Key Message Help Sheet
  - https://intranet.broxtowe.gov.uk/communicationsplanning
- Social Media Policy, help sheet and templates
- https://intranet.broxtowe.gov.uk/socialmedia

#### Design

- Corporate Style Guide
  - https://intranet.broxtowe.gov.uk/brandinganddesign
- Design Request Form
  - https://intranet.broxtowe.gov.uk/designandprintform

#### Consultation

- Online Form Request Form
  - https://intranet.broxtowe.gov.uk/onlineformrequest
- Consultation Methods Guide and planning template
- https://intranet.broxtowe.gov.uk/consultations

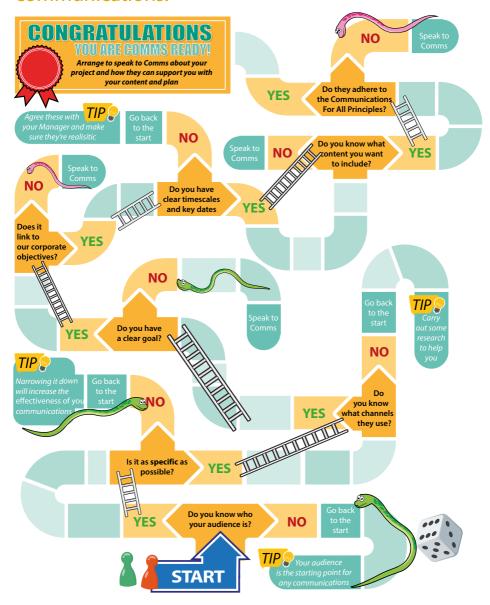
If you need a hard copy, contact Corporate Communications.

Please don't hesitate to get in touch with the team to discuss your communications needs.

Now you've read the advice in the toolkit, complete a game of Comms Snakes and Ladders to see if you're communications ready...

## Are you comms ready

This Communications-themed version of Snakes and Ladders below will help you make sure you're following the right steps when planning any communications.



ਜੇਕਰ ਤੁਸੀਂ ਇਹ ਨੀਫਨੇਟਟ ਕਿਸੀ ਹੋਰ ਭਾਸ਼ਾ ਜਾਂ ਫੋਰਮੈਟ ਵਿੱਚ ਲੈਣਾ ਚਹੁੰਦੇ ਹੋ ਤਾਂ ਕ੍ਰਿਪ ਕਰਕੇ 0115 9177777 ਤੇ ਸਾਡੇ ਨਾਲ ਸੰਪਰਕ ਕਰੋ ।

如果你需要此傳單用其他的形式或文字寫成,鎖接電話 0115 917 7777 與我們 聯絡。

اگرا ب چاہتے این کریے لیف ایٹ آپ کواُردد زبان میں مہیا کیا جائے قربراہ میریانی فون فیر: ۔ 0115917777 و 0115 کے ردابطہ کریں ۔

If you need this leaflet in other formats or languages contact us on 0115 917 7777

# This document is available in large print upon request



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**Broxtowe Borough Council** 

Council Offices, Foster Avenue, Beeston, Nottingham NG9 1AB Tel: 0115 917 7777 www.broxtowe.gov.uk



# ALCOHOL AND SUBSTANCE MISUSE POLICY

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# **ALCOHOL AND SUBSTANCE MISUSE POLICY**

## 1. Introduction

Broxtowe Borough Council is committed to ensuring the health, safety and welfare of its employees and those affected by its activities. It will take all reasonable steps to reduce, if not eliminate, the risk of injuries or incidents at work occurring due to individuals suffering from the effects of alcohol or substance abuse. (The term substance misuse will be known as drugs from this point). Consequently, the Council reserves the right under this policy to exercise alcohol and drug testing of its employees.

The Council is committed to raising employees' awareness of the dangers of alcohol misuse, the recommended sensible drinking limits and fully supporting and encouraging employees who are affected by alcohol and drug misuse, to seek help.

Where the term "employee" is used, this means anyone employed by the Council regardless of grade, full-time or part-time, temporary or permanent and also covers agency staff and Councillors.

#### 2. <u>Definitions</u>

The 'drugs' referred to in this policy and accompanying guidance are those that directly affect the nervous system, including:

- Controlled drugs e.g. cocaine, heroin, cannabis, speed, crack as under the Misuse of Drugs Act 1971
- So called legal highs
- Glues and solvents
- Some prescribed drugs from a GP/Hospital
- Some 'over the counter' medicines

## 3. Policy Statement – Principles

This policy and procedure is based on the following principles:

- a. No employee shall attend for work in an unfit state due to the misuse of alcohol or drugs. An unfit state may include, but not be limited to cases where:
- The individual is over the legal alcohol limit stipulated for driving (i.e. 35mcg/100ml of breath alcohol concentration).
- In the opinion of management, the employee's performance is impaired. In respect to alcohol, this may be less than the legal limit stipulated for driving.
- In the opinion of management, the employee's behaviour may cause embarrassment, distress or offence to others.

- b. Employees are prohibited from misusing drugs in the workplace, whilst undertaking the business of the Council, or immediately prior to or during a break in a working shift.
- c. Employees are prohibited from drinking alcohol in the workplace, whilst undertaking the business of the Council. Drinking alcohol at lunchtime is not condoned or supported in any way and does not reflect the image the Council wishes to present. At all times <u>ALL EMPLOYEES</u> must be within legal driving limits for alcohol whilst they are at work irrespective of being a driver or not.
- d. The Council expressly prohibits the use by an employees of any controlled drugs or any prescription drugs that have not been prescribed for the user or which are not used in the manner described in the prescription.
- e. It is a criminal offence to possess, use or supply a controlled drug
- f. An employee will not store drugs (except prescription drugs for personal use) or alcohol (unless in unopened bottle(s)) in personal areas such as lockers, vehicles and desk drawers; or attempt to sell or supply drugs or alcohol to any other employee or other person on Council premises, in Council vehicles or at any time during work time.
- g. The Council will provide reasonable assistance and support where an employee advises that they are suffering from drug or alcohol dependency. This may include Occupational Health Service, therapy or to follow a treatment schedule. Agencies will be expected to provide assistance and support to their own employees.
- h. Support will be provided to other employees affected where necessary
- i. Where an employee has a dependency that has an impact on their normal work, or which prevents them undertaking some or all of their duties, they will be managed within the capability framework. Should the employee not be able to demonstrate that the drug or alcohol use is no longer an issue in relation to their work within this timescale, an employment decision will be taken about the employee's suitability to continue and the outcome may include redeployment or dismissal from the Council.
- j. With regards to agency staff, the person will be given the opportunity to take a test(s). If the person refuses, that person will be removed from their duties. The recruitment agency will be contacted and asked to forward a copy of the employment contract between them and the person (The Agency may remove the person at this point). The contract should state that the person must comply with the Councils policies and procedures. This will then provide the recruitment agency the opportunity to remove the person to act as an agency worker for the Council. If the Agency person does take the test(s) and the result identified that the person is under the influence of alcohol and/or substance misuse, he/she will be immediately dismissed from the Council's employment. A report will be provided to the agency

Absences relating to this dependency or its treatment will be dealt with under the Council's Absence Management Policies as appropriate.

- k. Loss, damage or accidents arising as a result of an employee being under the influence of alcohol or drugs will be investigated and dealt with appropriately through the Council's Disciplinary Procedure as will occasions when an employee has taken part in safety-critical work whilst being under the influence of such substances. This will be the case whether or not any dependency had previously been declared.
- I. Failure to comply with this policy may be treated and investigated as a matter of potential misconduct under the Council's Disciplinary Procedure (or appropriate procedure for agency staff).

#### 4. With-cause alcohol and drug testing

A manager may require an employee to be tested for alcohol and drugs in cases where they have had any involvement in a workplace accident, near miss or in an incident that has caused or could have caused a danger to health or safety.

Testing may be carried out where a manager has grounds to believe or suspect that the employee is or may be under the influence of alcohol or drugs. The decision to carry out a with-cause test will be approved by a second manager and documented.

A manager may also require an employee to undergo a programme of regular monitoring following a declaration from the employee of drug or alcohol misuse, or following advice from a medical professional.

Any employee who notices signs of alcohol or drug abuse in a colleague should report their observations or suspicions in confidence to the employee's line manager.

Testing may be carried out as a follow-up action from a previous positive result.

For alcohol, the employee will be asked to give a sample of breath and a reading will be taken. The process for this test is explained on the screening form and the flow chart in the Appendixes.

#### 5. Random alcohol and drug testing

Random alcohol and drug testing will be carried out on employees who work in safety-critical jobs, including those working with machinery / tools / equipment, whose duties involve driving fleet vehicles or working in potentially dangerous environments.

Management will determine the timing, frequency and sample size of random testing exercises.

The Council reserves the right to carry out occasional random testing on any employees who drive on Council business, irrespective of grade or status. These tests will be completed during the employees' working time.

#### Selection Process

The Health and Safety Manager will use an application that selects a number(s) randomly. This number(s) will be forwarded to a Payroll Officer who will match this number(s) with the payroll establishment list. The Health and Safety Manager will be informed by the Payroll Officer of the name(s) that matches with the random selected number(s). The Health and Safety Manager or another trained employee will then carry out a drug misuse and/or alcohol test. The time of the test will be at the discretion of the officer conducting the test(s) and the employee(s) will not be given notification of the test(s).

# 6. Screening on Appointment/Transfer

Screening for drugs and/or alcohol on appointment or transfer may be required, as determined by managers following the completion of a risk assessment for the post. Should this be the case the employee will be advised of the Council's Alcohol and drug Misuse procedure and the requirement to be tested when invited for interview.

# 7. Carrying out tests

Asking an employee to undergo alcohol and drug testing does not necessarily indicate that there is any suspicion of wrongdoing.

Alcohol and drug testing will be carried out only by trained and competent persons. Tests used will be industry standard and will be reliable, credible and safe. Tests are carried out with the least possible intrusion into employees' privacy. Test results will be held securely in the employee's personal file and treated confidentially in accordance with the General Data Protection Regulation 2018 (GDPR).

Alcohol – employees will be tested by a meter that is Home Office approved and is calibrated every six-months.

<u>Process</u>: The employee must give consent, if not it may be seen as an admission of guilt.

The employee who is to deliver a breath test should be supervised in a room/area where he/she cannot have access to food, drink or allowed to smoke/vape for 15 minutes, this will allow the mouth to cleanse itself. If the reading is above 35 mg/100ml (drink drive limit) the employee will be required to take a second test after 20 minutes. If the reading is still above 35 mg/100ml, the employee will be suspended. If the reading is between 1 – 35mg, this will indicate alcohol in the body. The employee is once again supervised in a room/area where he/she cannot have access to food, drink or allowed to smoke/vape for 20 minutes. A second test is then conducted and if the reading is still between 1 – 35mg/100ml, the employees Manager must remind the employee of the requirements of the Alcohol and Substance Misuse Policy. This process must be conducted in the presence of an independent witness. The readings must be recorded and a signature is required by the tester, employee and witness to verify that the

recorded reading is identical to the reading(s). Follow flow chart in Appendix 3 if a positive result is recorded.

Drug abuse – the test equipment used for this test is called DrugWipe and requires the employee to wipe the device five times on the tongue. This device will identify up to 6 different drugs.

If the test provides a positive result, the employee will be quarantined under close supervision. Dtec International Ltd will be contacted and a representative of the company will arrive at the site within two hours. This person will then assume responsibility for conducting a urine sample using the "Chain of Custody Collection Process". See Appendix 4. The results from this test will be provided within five working days and will confirm a positive or negative result. If positive, the result will confirm the type of drug consumed and the concentration. Follow flow chart in Appendix 3.

Employees who are tested will be notified of the result before this is disclosed to their line manager. Immediately after this notification to the employee, the line manager will be notified of the results of testing.

Refusal to submit to an alcohol and drug test will be treated as an admission of guilt and considered as a misconduct issue, potentially gross misconduct and dealt with under the Council's Disciplinary Procedure.

An updated list of employees tested will be submitted to Directors/Heads of Service, the Unions and to the Safety Committee to ensure fairness and transparency of the testing regime.

#### 8. Action after a positive test

If a test proves positive and the employee has been engaged in safety critical activities at the time of the test, or the test has been conducted because of an accident or other similar event or near-miss, the employee will be required to take part in an investigatory interview as defined within the Council's Disciplinary Procedure. This may lead to a formal hearing and appropriate formal action being taken which may include dismissal.

If work performance appears to be adversely affected by the use of drugs or alcohol the employee will be managed within the capability framework in which specific improvements within defined timescales will be made clear. Failure to meet these required improvements may lead to redeployment or dismissal.

It may be appropriate to establish a more regular drug or alcohol monitoring programme with an employee over an extended period of time to ensure that use of these substances is not affecting work performance.

Generally, a result will be considered "positive" where the presence of alcohol above 35mcg/100ml of breath alcohol concentration is detected or where there is the presence

of controlled drugs. The drug testing should not detect levels of prescription drugs if they are being taken at a level prescribed by a healthcare professional. A urine test will be taken to confirm that the positive drug test is accurate and is not due to a prescription drug being taken at the prescribed level.

Note: Restrictions on drinking or being under the influence of alcohol whilst at work - relevant legislation Section 4 (1) Road Traffic Act 1988 states:

"A person who, when driving or attempting to drive a mechanically propelled vehicle on a road or other public place, is unfit to drive through drink or drugs is guilty of an offence".

#### 9. Roles and Responsibilities

#### 9.1 Chief Executive

- Is responsible for ensuring corporate compliance with this policy
- Will support Directors/Heads of Service in fulfilling their responsibilities within this
  policy

#### 9.2 Directors/Heads of Service

- Are responsible for ensuring that adequate arrangements are made within their service area to enable the policy to be implemented and operated effectively.
- discourage drink-related unacceptable conduct by ensuring that excessive consumption of alcohol does not occur at Council arranged formal events
- Identify safety critical roles that will be placed on the random testing regime

#### 9.3 Managers/Supervisors

Have a responsibility to:

- take steps as outlined in this policy to help and support the employee as soon as they become aware of an employee with an alcohol, drug or substance misuse problem
- create an atmosphere where employees feel able to discuss an alcohol/substance problem with them and should be especially careful of confidentiality
- encourage employees to seek help as soon as a problem is identified
- make it clear to the employee at all times that it is the wish of the Council to assist and support them wherever possible, and that strict confidentiality will be maintained, as far as is practicable
- fully investigate instances of possible intoxication, and implement the screening/testing procedure, where there are concerns about risk and/or safe working

- make a decision immediately following notification of an accident as to whether to implement the screening/testing procedure
- discourage drink-related unacceptable conduct by ensuring that excessive (i.e. within the legal limits) consumption of alcohol does not occur at Council arranged formal events
- review risk assessments to ensure sufficient control measures are in place if an employee's informs them that they are taking any prescribed medication that may have an effect on their ability to carry out their work safely
- Take steps to remove individuals from safety critical roles if alcohol, drugs or substance misuse is reported or identified. This may be in the form of a medical suspension and further action will be taken following further investigation.

# 9.4 Employees

Under the Health and Safety at Work etc. Act 1974, personal responsibility for all employees irrespective of grade, full-time or part-time, temporary or permanent and also agency staff (not self-employed) is set out as three basic duties:

- 1. We each have a duty to take reasonable care of our own health and safety and that of others who may be affected by what we do or fail to do.
- 2. We each have a duty not to neglect, abuse or interfere with anything provided in the interest of health and safety.
- 3. We each have a duty to co-operate with our employer over matters of health and safety.

Plus each employee has a personal responsibility to:

- comply with this policy and not allow alcohol or drugs to interfere with their work performance and/or conduct
- come to work capable of carrying out that work effectively without danger to themselves or others. Those employees who work with plant, machinery tools or equipment, or who drive as part of their duties, have particular responsibility to ensure that they are not affected by alcohol, which impairs judgement and reduces concentration which could result in accidents
- be aware that being under the influence of alcohol or drugs sufficient to affect their work performance is a disciplinary offence and could potentially be treated as gross misconduct
- not consume alcohol whilst undertaking the business of the Council, or immediately prior to or during a break in a working shift
- not consume excessive levels of alcohol at Council arranged formal events resulting in unacceptable conduct. See Code of Conduct.
- seek help and treatment as soon as possible if they feel they have alcohol drug misuse problems. They can do this by approaching their line managers or HR in confidence

- Inform their line managers if they are taking any prescribed medication that may have an effect on their ability to carry out their work safely and they must follow any instructions subsequently given.
- Inform their manager and HR/Health and Safety Section if they suspect or are aware that a colleague is under the influence of alcohol or drugs. If the colleague is not in their Service area they <u>MUST</u> still report the issue to someone with managerial responsibilities
- Advise Manager/HR if found guilty of possessing illegal drugs or drug offences
- Advise Manager/HR if tested positive by a Police Officer

# 10 Complaints

Any complaint about the way in which an alcohol / drug misuse test(s) has been conducted should be stated in writing to the departments Director who will investigate the complaint.

# 11 Additional Policies

The following Council policies may be relevant to this policy and should be referred to where appropriate:

- Absence Management Policy and Procedures
- Disciplinary Policy
- Code of Conduct
- Capability Procedure
- Driving at Work Policy
- Health and Safety Policy

#### 12 Further Advice

Further advice on the implementation of any aspect of this policy can be obtained by contacting the HR or Health and Safety Section.

# **APPENDIX 1**



# **Drug and Alcohol Screening Form**

I hereby consent to the following screening test(s) and any possible subsequent confirmation test(s) for the detection of alcohol or drugs from a sample of breath/saliva/urine. I am fully aware of the consequences should a positive result be detected. I accept the interpretation of my test results will be completed by the Screener and recorded below.

## This is a confidential process

#### Please read and sign where asked

Complete list of current medication including those purchased over the counter:			
1			
3			
4         5			
6.			
Employee Name:			
Witness Name: Signature: Signature:			
Contact details: Home/Mobile number:			
Screener Name: Signature: Signature:			
Date: day month year Time: hr : min AM / PM			
Screener asks if the employee has:  Consumed alcohol within the last 15 minutesYES/NO			
Consumed alcohol within the last 15 minutesYES/NO			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutesYES/NO			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutes			
Consumed alcohol within the last 15 minutes			

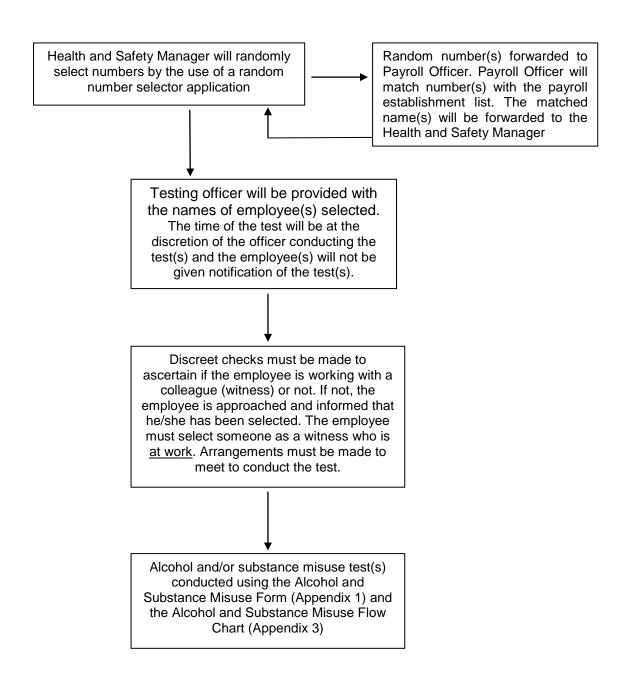
British law states that an individual is unfit to drive if they have alcohol level above 35 micrograms per 100 millilitres of breath. <u>This measurement will be used by the Council for all employees irrespective of job role, grade or status.</u>

**Alcohol Screen (First Test):** 

Time: hr : min	Test Log Number:		
Result in Numbers:	Result in Words:		
Alcohol confirmation above 30 mic	rograms per 100 millilitres of breath. YES/NO		
If YES, ask the employee to remain in the room/area during the period prior to and for the second test. No drinking, eating, smoking/vaping is allowed.			
Alcohol Screen (Second Test) 20 minutes after initial alcohol screen:			
Time: hr : min	Test Log Number:		
Result in Numbers:	Result in Words:		
Attach a photograph of each test resu	ult showing the meter reading		
I certify that the photograph(s) taken	of the reading(s) are accurate for the test(s) taken:		
Employee Name:	Signature:		
Screener Name:	Signature:		
Witness Name:	Signature:		
Follow the flow chart and script within the Policy.			
Drug Screen: (Screener instructions ensure barrier gloves are worn)			
Screening device:	DrugsWipe		
Batch Number:	Expiry Date:		
Result Lines appear: NONE Ca	Co Op Am Meth Bzo		
Ca: Cannabis Co: Cocaine Op: Opiates Am: Amphetamine Met: Methamphetamine Bzo: Benzodiazapines			
Signatures to acknowledge the res	ults:		
Employee Name: Screener Name: Witness Name:	Signature:		

## **APPENDIX 2**

Alcohol and/or Drug/Substance Testing has been agreed by Councillor's, Chief Officers, Safety Committee and the Unions. Therefore, all management levels are aware that their employees in safety critical roles will be randomly selected at some point or all employees selected due to just cause

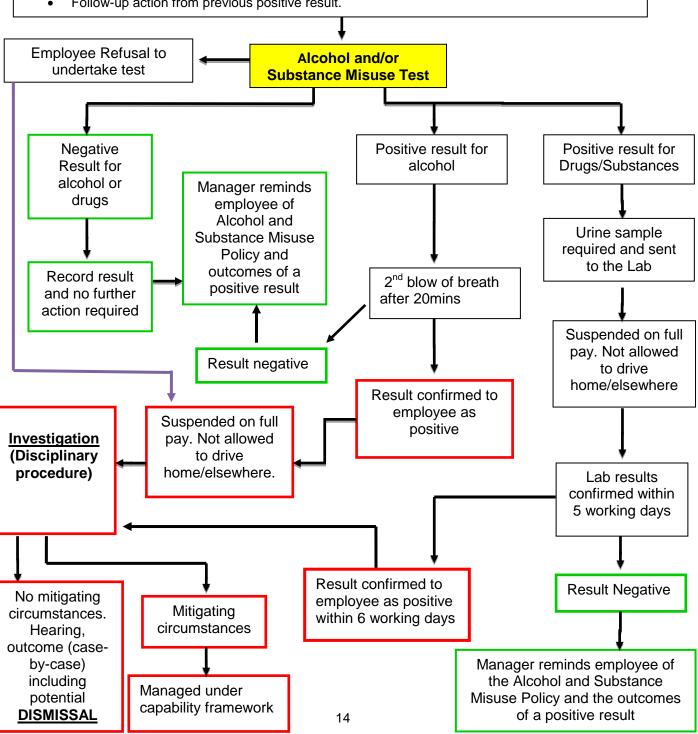


# **APPENDIX 3**

# **Alcohol and Substance Misuse Testing Process**

Employee selected for alcohol / drug/substance testing process.

- The following are considered: Employee declares use
  - Unannounced / Random
  - With Cause i.e. post incident / accident or near miss
  - Employee suspected of being under the influence, performance affected or potential safety risk.
  - Follow-up action from previous positive result.



# **Chain of Custody Collection Process**

- Call made direct to Collection Agency's 01873 856771 duty officer phone number.
   If busy, leave a message, they will get back to you very quickly. They will take details of the person calling, code number if necessary for a pre-arranged account, or credit card for unarranged account. They will take your contact number (preferably a mobile number). They will confirm an address for the collection and then confirm the collector's name and anticipated arrival time.
- The collector will arrive and make contact with the person who made the call, please make sure access is authorised to the site.
- The collector will examine the interview room and nearby toilet cubicle for a dynamic risk assessment and to make sure that the toilet cubicle is free of any chemicals and fluids, then water sources will be security tape sealed, standing water in pan and cistern will be colour dyed.
- The collector will ask to see photo ID of the client (employee) and fill in paperwork recording any medicines or substances taken in the last week.
- The collector will ask the client to remove any outer clothing, wets, safety gear, coats and jackets and ask the client to empty pockets.
- The client will then be asked to clean hands thoroughly to remove any innocent chemicals on their skin (or any other substances applied).
- The collector will follow client to the cubicle, unseal and hand over a urine cup. The collector will not be in the cubicle with the client.
- The client will urinate into the cup and pass it out to the collector, which is examined visually and smelt to see that it is urine and temperature measured to see it has come straight from the body, it may be adulterant checked.
- In the interview room, the urine sample will be decanted equally by the collector into two sealed containers, Sample A and Sample B.
- These will be barcoded and sealed in the presence of the client.
- The inner water tight packaging will be sealed and paperwork added before the outer packing is sealed for the post.
- The client is then allowed to leave with a copy of the paperwork if requested.
- The collector takes BOTH samples, A and B, which are posted to the accredited laboratory.

# **Process at laboratory**

- The following day, the laboratory will log in the package, check for integrity of the seals and the correct completion of the paperwork.
- The laboratory will refrigerate Sample B and only work on Sample A.
- Pre-screen for adulterants from the body or added at point of collection, concentration of certain markers are checked to look for watering down by excessive fluid consumption or dilution at point of collection.
- Laboratory analysis is performed by two methods (GC-MS or LC-MS)
   Results are seen for not just the raw drug but the bodies metabolised form of the drug, hence showing the consumption of that drug.
- Result is reported against levels, either industry norms, or if the company so wishes, its own levels.
- Any questions from the laboratory can be directed back to the company and the client, or referred to an independent Medical Review Officer (MRO) who can talk to the clients own Doctor. This is in cases of certain prescribed medications and assessment of therapeutic levels.
- MRO's result is final.
- Results go back to an agreed confidential management point or via Dtec for explanation.
- Client is continued to be recorded as negative and brought back to duty, or recorded as positive and attends a suitable disciplinary hearing.
- If the client wants to contest the result, they can choose another workplace accredited laboratory and ask the company to request Sample B's direct shipment to that second laboratory. The second laboratory results override the first. After a period of time, the B sample will be destroyed. It is advised that all costs of this second assessment are borne by the client (employee) directly, then possibly refunded if negative, to prevent unnecessary re analysis.



# ATTENDANCE MANAGEMENT POLICY

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# **ATTENDANCE MANAGEMENT POLICY**

# **Section One**

#### 1. Introduction

Broxtowe Borough Council recognises that high levels of attendance at work make a significant contribution to the achievement of its vision to deliver efficient and effective services.

The Council accepts its obligations in respect of employees experiencing ill health. This policy will ensure that sickness absence is dealt with fairly and that decisions are made based on the information available at that time.

This policy should be read in conjunction with the following related policies:

- Stress Management
- Flexible Working
- Alcohol and Substance Misuse at Work
- Capability Policy and Procedure

# 2. Equality Impact Assessment

An Equality Impact Assessment of this policy has been undertaken to ensure that the implications of its introduction do not cause adverse impact or discrimination against different groups of employees within the organisation.

# 3. General Principles of Absence Management

#### **3.1 Aims**

The aims of this Attendance Management Policy are to:

- provide a framework to support employees who are unable to work due to sickness and assist them back to work as quickly as possible
- reduce the impact on other employees when covering for colleagues who are absent due to sickness
- improve and maintain the good attendance of employees in order to minimise the cost and effects of sickness absence and to maximise operational efficiency in all areas.
- ensure the reason for sickness absence are understood in each case and investigated where necessary

# 3.2 Scope

This policy applies to all Council staff with the exception of people who are within their probationary period.

Probationers' sickness absence will be dealt with as part of their probation reviews.

#### 3.3 Principles

Any employee subject to the Attendance Management Policy will be fully consulted and made fully aware of the Council's position throughout the process. Support will be offered in all instances, but an employee who is subject to this policy should be aware that this is a formal procedure and that failure to provide a regular effective service may result in the individual's employment being at risk.

Throughout this policy the Council assumes that ill health is genuine unless there is evidence to the contrary. The reasons for taking formal action will therefore relate to the capability of an employee to do their job and not because of their illness.

# 3.4 Confidentiality

All parties involved in these procedures must ensure that they maintain the confidentiality of the process. Wider disclosure may be necessary where there is a duty of care eg a manager has a concern for the wellbeing of an employee. The requirements of the General Data Protection Regulations 2016 and Access to Medical Reports Act 1988 must be followed.

#### 3.5 Equal Opportunities

Sickness absence will be managed in a non-discriminatory way and in accordance with the Council's Equal Opportunities Policy. The requirements of the General Data Protection Regulations 2016 and Access to Medical Reports Act 1988 will also be adhered to.

Certain medical conditions may potentially affect different racial groups in different ways eg sickle-cell anaemia. Similarly, an absence may be prolonged or affected due to treatment being related to the demands of a particular faith or religion.

#### 3.6 Right to be accompanied

Employees have the right to be accompanied by a trade union representative or work colleague at all formal meetings. The representative/companion can on behalf of the employee address the hearing to put and sum up the employee's case, respond on behalf of the employee to any views expressed at the meeting and confer with the employee during the hearing. The

representative/companion does not, however, have the right to answer questions on the employee's behalf, address the hearing if the employee does not wish it, or prevent the employer from explaining their case.

#### 3.7 Medical Advice

Medical advice may requested be via Occupational Health at any time during the management of sickness absence or if there are concerns about an employee's health whilst they are at work. Occupational Health may consult the employee's general practitioner or another specialist consultant. The employee may also provide additional medical information produced by a medical expert which they consider to be relevant.

#### 3.8 Attendance at Meetings and Occupational Health appointments

If an employee does not attend a management meeting or an Occupational Health appointment which they have been notified of without good reason managers may make a decision based on the information available in their absence

## 3.9 Abuse of the Attendance Management Policy

If an employee abuses the Attendance Management Policy in any way e.g. exploits the sick pay provision; fails to follow the sickness notification procedure; refuses to attend meetings with management and/or Occupational Health appointments, disciplinary action may be taken in accordance with the Disciplinary Policy.

# 4. Roles and Responsibilities

The General Management Team has overall responsibility for the effective operation of this policy and to ensure its' compliance within the statutory framework. The day to day responsibility for operating the policy and ensuring its maintenance and review is with the Human Resources Manager.

#### 4.1 Manager's Role

To be responsible for recording and monitoring absence;

To ensure employees know the correct absence and notification procedures;

To be a point of contact when employees are off work;

To provide information to the employee regarding their sickness record;

To undertake return to work interviews;

To be aware of the triggers and take action accordingly when these triggers are reached;

To make employees aware of support mechanisms available such as the Employee Assistance Programme and Occupational Health where appropriate;

To consider reasonable adjustments eg a phased return from long-term sickness absence and implement where appropriate;

To know an employee's circumstances and, where possible, become aware of problems at an early stage;

To provide a safe working environment for staff.

#### 4.2 Human Resources' Role

To provide managers with guidance and support, as and where required, throughout the process;

To provide employees with advice on the policy and their entitlements;

To provide information to the employee regarding their sickness;

To advise the manager on the most appropriate course of action for the employee;

To advise on what further information should be sought eg from Occupational Health and the Employee Assistance Programme

# 4.3 Employee's Role

To tell their manager is they have any health issues which may affect their ability to do their role

To follow the timescales for the Sickness Notification Procedure and sending in Fit For Work Notes

To maintain contact regular contact with their manager

To attend meetings with management and to attend Occupational Health appointments as required

To not undertake any activity whilst absent from work through illness/injury which could aggravate their illness/injury or delay their recovery and therefore their return to work

To note undertake any other work, whether paid or unpaid, or similar to own duties that may aggravate the illness of injury or delay recovery and therefore return to work.

To not visit their work place without first contacting the manager to ensure that somebody is available to see them.

#### 4.4 Occupational Health

To provide specialist medical advice to managers and employees;

To identify where an underlying medical condition exists and provide advice in relation to the condition and the employee's work;

To provide advice on reasonable adjustments, phased returns, redeployment to be considered

To provide advice about the possibility of ill health retirement

To support the employees return to work and their continued attendance at work.

# **Section Two**

#### 5. Pay and Leave

# 5.1 Sick Pay Entitlement

Sickness pay will be made in accordance with the National Conditions of Service and the scheme applies equally to all permanent and temporary employees where they possess eligibility by length of service.

During first year of service (continuous local government), one month's full pay and (after completing four months' service), two months' half pay. During second year of service, two months' full pay and two months' half pay. During third year of service, four months' full pay and four months' half pay. During fourth and fifth year of service, five months' full pay and five months' half pay.

After five years' service, six months' full pay and six months' half pay. If an employee reports sick following the notification of an investigation or whilst suspended the above provisions will still apply.

If a period of sickness absence is or appears to be occasioned by actionable negligence, nuisance or breach of any statutory duty on the part of a third party, in respect of which damages are or may be recoverable, you must immediately notify Payroll and the Insurance Team of that fact and of any claim, compromise, settlement or judgment made or awarded in connection with it and all relevant particulars that we may reasonably require. If we require you to do so, you must co-operate in any related legal proceedings and refund to us that part of any damages or compensation you recover that relates to lost earnings for the period of sickness absence as we may reasonably determine, less any costs you incurred in connection with the recovery of such damages or compensation, provided that the amount to be refunded to us shall not exceed the total amount we paid to you in respect of the period of sickness absence.

You will retain the use of any benefits in kind such as mobile telephone] for the first 2 weeks after which they shall be at our discretion.

Any employer and employee pension contributions will continue subject to the relevant scheme rules during any period of Council sick pay or SSP.

#### 5.2 Sickness and annual leave

Employees continue to accrue leave and bank holiday entitlements during a period of sickness.

Employees are allowed to book leave whilst they are certified as sick following advice from their GP that a holiday will aid their recovery and recuperation.

# 5.3 Sickness during a period annual leave/bank holiday

If an employee falls ill during a period of annual leave/bank holiday, they may be entitled to have some or all of their annual leave reinstated if they provide a GP's fit note to certify the illness and they have followed the correct procedures for reporting sickness i.e. making contact with their manager on the first day of absence.

#### 5.4 Sickness during period of Flexi Leave

If an employee falls ill during a period of flexi leave they may be entitled to have their flexi leave balance reinstated where they provide a GP's fit note to certify the illness and they follow the correct procedures for reporting the sickness. No more than 11 hours can be carried over into the next flexi period.

### 5.5 Sickness during the Working Day

Employees who become ill during the morning and leave work (following permission from the manager or other responsible officer) will be credited with that morning for flexi purposes. Where the employee was due to work in the afternoon (or the rest of shift as appropriate) this will be recorded as sickness.

Employees who become ill in the afternoon and leave work following permission, will be credited with that afternoon. Employees on flexi-time will be credited time in accordance with the flexi-time scheme. Where the absence continues into the next day (and beyond) the notification procedures outlined above must be complied with i.e. the next day will be classed as day 1 for sickness reporting purposes.

Where a pattern of absence shows that an employee is regularly working part of a day then seeking permission to leave work or leaves work without permission, this will be regarded as a conduct issue and will be dealt with under the Disciplinary Policy.

#### 5.6 Carrying over unused leave

On their return to work employees will be allowed to take outstanding leave subject to operational requirements.

If an employee has not been able to take their full leave year's entitlement due to their sickness absence they are entitled to carry over the statutory leave allowance of 28 days minus the days of contractual annual leave they have already taken. This carried over leave balance must be taken in full during the following leave year or it will be lost.

Employees moving onto half pay during their period of sickness should be encouraged to use their annual leave to bring their pay up to their full entitlement.

#### 6. Unauthorised Absence

Absences will be regarded as unauthorised absences when an employee is absent from their place of work:

- without authorisation
- without personally informing their manager (or deputy) within the required notice on their first day of absence as stated in the procedure guide
- when failing to submit fit notes covering all sickness absences in accordance with the required procedure

When an employee fails to contact their manager to advise them of their absence, the manager will contact the employee to find out why they have not attended work. This should not be treated as a substitute for reporting sickness absence.

Employees may not receive pay for relevant periods if they fail to notify their manager of sickness absence or where their absence is not covered by the appropriate certification.

Unauthorised absence is misconduct and will be dealt with through the Disciplinary Policy.

# **Section Three**

#### 7. Types of Absence

Employee's absence generally falls into 3 categories: long- term, frequent and short term or a combination of these. The management of long-term absences is covered in section 5

Frequent short term absences are normally sporadic, attributable to minor ailments and which in many cases are unconnected. However, cases of frequent short-term absence where there is evidence to support the view that sickness absence may not be genuine should be dealt with under the Disciplinary Policy as a matter of poor attendance constituting misconduct

The Council recognises that there may be occasions when some employees might feel it necessary to cite sickness absence as the reason for not attending work when this may not be the case. Managers and employees are reminded of the leave and flexible working provisions in these circumstances.

#### 7.1 Sickness Absence Notification

All staff should follow the Sickness Notification Procedure in Form AN4 found on the intranet. Failure to follow this procedure may result in sick pay being delayed or disallowed and may lead to action being taken under the relevant Disciplinary Policy when an employee is failing to follow the procedures.

Where an employee does not feel able to advise their manager of the nature of their sickness absence, they may make contact with HR to discuss their absence confidentially and HR will advise appropriate manager accordingly.

Emails or text messages will not be accepted as notification and will be regarded as failure to inform the Council correctly.

Where an employee is unable to make contact personally due to exceptional circumstances, it is acceptable for them to make arrangements for someone else to notify the Council on their behalf as soon as possible (eg partner/parent). However, where someone else has made the initial contact, the employee must also make direct contact with the manager as soon as possible thereafter.

If an employee has had frequent short term absences they may be required to produce a fit note on the first day of absence for a specified period of time. In these circumstances failure to obtain a fit note on the first day would result in the employee not being paid for that day or any subsequent days when the appropriate notification procedure had not been followed.

# 7.2 Elective/Cosmetic Surgery

The Council defines an elective procedure as a non-essential surgical procedure which the employee chooses to undergo for personal reasons, for example cosmetic surgery or laser eye treatment.

Non-essential surgery which has been medically advised or prescribed by an employee's doctor or consultant will not be considered as an elective procedure.

Elective and cosmetic surgery appointments (including laser eye surgery) and ensuing recovery periods must be recorded as annual leave.

If any complications arise following the surgery and a fit note is provided, then the employee will be entitled to sick pay.

#### 7.3 Time off for fertility treatment

There is no statutory right for employees to take time of work to undergo IVF treatment and IVF treatment appointments will be treated in the same way as other medical appointments.

Following the implantation of fertilized eggs, the woman is regarded as being pregnant and she is protected under the Equality Act 2010. If the IVF is unsuccessful, the protected period ends two weeks after she is informed that the IVF was not successful.

# 7.4 Hospital/GP/Dental/Optician appointments

Any of the above appointments which an employee needs to attend must be taken in accordance with the Council's flexi-time rules and should not be recorded as sickness absence. Managers may ask to see written proof of appointments (see Flexible Working Hours Guidelines).

### 7.5 Work Related III-Health or Injury

If an employee or manager believes that ill health or injury has been caused by work, the employee should complete the Council's accident report form as soon as possible and send it to the Health and Safety section.

If an employee has not completed an accident report form and subsequently believes that their ill health or injury is caused by work, they should report this in writing to their manager setting out the reasons why they believe the work has contributed or caused their ill health or injury and the reason for the delay in reporting this.

# 7.6 Maintaining Contact

The employee and the Manager will maintain contact as agreed once an employee is covered by a fit note and keep them informed of their progress and their likely return to work date. Employees must contact their manager before their fit note expires in order to confirm either that they will be obtaining another fit not or their return to work date.

Employees who do not maintain regular contact will be contacted by their manager to check on their progress. Additionally, employees who are on long-term sickness absence be invited to regular welfare meetings as outlined in Section 5.

Where an employee indicates that they are absent due to stress at work, the manager must inform HR and then make contact with the employee as soon as reasonable and follow the guidance in the Stress Management Policy as it may be necessary to carry out an individual Stress Risk Assessment.

#### 7.7 Return to Work

An employee is no longer required to obtain a GP's fit note stating they are fit to return to work. An employee may choose to return to work before their medical fit note expires and without the requirement for any alterations. However in some cases it may be necessary to conduct a Health and Safety risk assessment before a return to work can be confirmed. In these circumstances the employee will not be able to return to work until HR and the manager are satisfied that appropriate support is in place to facilitate their return to work and the employee will therefore remain on sick leave.

#### 7.8 Phased returns to work and alternative duties

Where a GP or Occupational Health states that an employee may be fit for work on 'altered hours, amended/alternative duties, a phased basis or with reasonable adjustments', this advice can only be implemented with the manager's agreement. Following advice from HR a meeting should be arranged with the employee to discuss whether the GP's recommendations are reasonable and can be implemented. In some cases it may be necessary for Health and Safety to complete a risk assessment before a decision can be made.

# 8. Completion of a Return to Work Interview

A return to work interview must be held between the manager and employee as soon as possible following every sickness absence and within three working days of return at the latest. A return-to-work interview enables us to confirm the details of your absence. It also gives you the opportunity to raise any concerns or questions you may have, and to bring any relevant matters to our attention.

Where it is not possible for a return to work interview to be undertaken by the line manager within this timescale (because, for example, they are absent from work on leave), the responsibility will then transfer to another manager within the department either at the same level or above.

# **Attendance Management Formal Procedure**

# **Section Four**

# 9. Trigger procedures

## 9.1 Trigger levels

When an employee has had:

- 4 or more occasions of absence in a rolling year
- absences totalling 10 or more working days (separate or continuous) in a rolling year
- any pattern of absence causing concern

they will be placed within the formal Attendance Management Procedure.

Note there is an additional procedure for dealing with long-term absences.

# 9.2 Employees with more than one contract

If an employee has more than one part-time contract any instances of sickness absence must be dealt with separately and not cumulatively. An employee can therefore trigger at different times for each contract and may receive a sanction for one or both contracts

#### 9.3 Pregnancy or Maternity Related Absence

If an employee is absent with sickness which is pregnancy or maternity related, the manager should still monitor the absence using these procedures. Where the level of absence hits the trigger levels or becomes long term, the manager must consult with HR with regard to managing the non-attendance and supporting the employee.

#### 10. Stage One - Attendance Management Meeting

When a trigger point has been reached, the employee will be required to attend a Stage One attendance management meeting with their manager on their return to work. The meeting is not disciplinary in its purpose and is intended to provide the manager with the opportunity to review the circumstances surrounding the employee's absence levels before a decision is made whether or not to issue a Notification of Concern or Letter of Support.

At least five working days' notice of the meeting must be given to the employee together with informing them of the right to be accompanied by a trade union representative or work colleague.

The manager will then determine whether to issue a Notification of Concern or a Letter of Support. The latter will only be appropriate if the sickness absence trigger breach is due wholly or in part to an Equality Act 2010 defined disability or if it relates to a pregnancy/maternity related absence or major illness.

# 10.1 Issuing of Notification of Concern/Letter of Support

The decision should be given orally at the meeting if possible and must be confirmed in writing within five working days of the meeting. Managers must include any actions and identify any agreed reasonable adjustments needed to support the employee in improving their attendance and also make clear that, if attendance levels do not improve, then this may lead to the next stage of the procedure.

A first Notification of Concern or a Letter of Support will remain active and on the employees' file for six months from the date of the *return to work*. The employee's attendance will be reviewed periodically by the manager and, if the employee has not taken any more sickness absence during this time, then the Notification of Concern or Letter of Support will lapse at the end of the six months.

Employees may appeal against the issuing of a first Notification of Concern or Letter of Support by writing to their manager within five working days of receipt of the written decision. The appeal will be heard by the relevant Head of Service or Chief Officer as appropriate. After this hearing, there is no further right of appeal at Stage One.

If the employee activated a further trigger whilst a Stage 1 Notification of Concern or Letter of Support is active, the manager will hold a Stage Two Attendance Management Meeting.

#### 11. Stage Two Attendance Management Meeting

A Stage Two meeting will be convened if the employee activates another trigger whilst a Notification of Concern or Letter of Concern is active. The meeting will take place once the employee has returned to work.

The Stage Two meeting, which again will not be disciplinary in its purpose, will provide the manager with the opportunity to establish all the facts and review the circumstances surrounding the employee's absence levels before a decision is made whether or not to issue a Second Notification of Concern.

At least five working days' notice of attendance must be given to the employee informing them of the right for them to be accompanied at the meeting by a trade union or work colleague. A HR Officer *must* also attend.

The decision should be given orally at the meeting if possible and confirmed in writing within five working days of the meeting. Managers must include any actions and identify any agreed reasonable adjustments needed to support the employee in improving their attendance and also make clear that, if

attendance levels do not improve, then this will lead to the next stage of the procedure.

The issuing of a Second Notification of Concern will remain active for 12 months from the date of the *return to work*. During this time the manager will review the employee's attendance regularly. If the employee's absence reduces below the trigger level after six months the second Notification of Concern will reduce to the level of a First Notification of Concern.

Employees may appeal against the issuing of a Second Notification of Concern by writing to their manager within five working days of receipt of the written decision. The appeal should state the full grounds of the reason for the appeal. Their manager will arrange for the appeal to be heard by a relevant Head of Service or Chief Officer as appropriate. After this hearing, there is no further right of appeal at Stage Two.

If the employee triggers whilst a Stage 2 Notification of Concern or Letter of Support is live, the manager will hold a Stage Three Attendance Management Meeting.

### 12. Stage Three Attendance Management Meeting

If the employee triggers during the first six months after a Second Notification of Concern or Letter of Support has been issued, the manager should then consult with HR before preparing a management report for consideration by the Head of Service (or Chief Officer) at a Stage Three attendance management meeting.

Although a Stage Three meeting is not disciplinary in its nature, it will be held in a similar format to the Council's Capability and Disciplinary Policies, the manager dealing with the case up to this point will present their summary of the case to a Head of Service (or Chief Officer) who will chair the hearing and will be the Deciding Officer.

At least seven working days' notice will be given to the employee together with the right to be supported at the meeting by a trade union representative or work colleague. The Employee will also be informed that dismissal could be an outcome of the hearing.

The Deciding Officer should consider the option of redeployment on a permanent or temporary basis (if a suitable existing position is available) or adaptation of working methods and environment, if it is felt that this may improve attendance, before making a decision to dismiss.

Where the Deciding Officer makes a decision not to dismiss, clear justification for not doing so must be recorded together with any support or other actions to be taken. A follow-up meeting must then also be arranged (normally within 6 weeks of the Stage Three meeting) in order to review the case further.

The decision should be given orally at the meeting if possible and confirmed in writing within 5 working days of the meeting.

If, however, the *Deciding Officer* feels that the employee's attendance is still a matter of concern for the future and there are insufficient mitigating circumstances for the continued level of absence, they may choose to dismiss the employee with appropriate notice where they believe there is clear justification for doing so.

An employee who has been dismissed at Stage 3 is entitled to appeal against the decision by writing to the *HR Manager* within five working days of the letter confirming their dismissal. The appeal will be heard by the Licensing and Appeals Committee. The employee will have the right to be accompanied by a trade union representative or work colleague. Licensing and Appeals may choose to reinstate the employee or uphold the decision of the Deciding Officer.

# **Section Five**

# 13. Management of Long Term Sickness

If an absence exceeds 4 weeks, the employee must be invited in writing to an informal welfare meeting with their manager.

The meeting is to consider the period of absence under review; the nature of the employee's illness; and the potential implications of this for their return to work (ie the potential length of the absence and any longer-term impact of their condition); whether an Occupational Health referral is appropriate, what mechanisms are in place to support the employee during their absence, and any support that will help them prepare for their return.

Automatic referral Occupational Health of all long term sickness cases is not necessary (eg where an employee is absent for a specified period of time due to a broken limb). Consideration needs to be given to the cause of absence, the timing of the referral, and whether a response from the Occupational Health Service will be useful in determining future action.

Further welfare meetings should take place as deemed necessary given the circumstances of each case, but consideration should be given to meeting every 30 days.

The manager must write to the employee after every meeting, summarising the discussion and outlining the next steps.

#### 13.1 Likelihood of recovery

Where the information considered suggests that there is a likelihood of recovery and return to work within a reasonable timeframe, then the outcomes of this long-term sickness absence meeting may include:

A provisional date for return to 'normal working'

A provisional date for a phased return to normal duties

A provisional date for returning on alternative duties

A provisional date for return to their previous role, but with temporary or permanent adjustments in working arrangements, in recognition of the individual's health condition. Such adjustments will be made in order to ensure compliance with the Equality Act 2010 as well as the Council's wider commitments to equality and diversity;

Consideration of permanent redeployment to another post which may be at a different grade or different terms and conditions of employment;

#### 13.2 No likelihood of recovery

The underlying principle when managing long term absence cases is to balance the Council's needs against the circumstances of the employee concerned. There is no requirement for manager to wait indefinitely for an employee who is on long-term sick leave to return to work or to be placed on a particularly Attendance Management Stage before considering particular action. At a certain point, managers in consultation with HR are entitled to decide that they are no longer able to accommodate the consequences of an employee's long term sickness absence and that it is not reasonable to wait any longer the employee to return to work.

Where the information considered does suggests that there is no likelihood of the employee recovering and returning to work within a reasonable timeframe, advice should be sought from Occupational Health. If the employee is in the pension scheme Occupational Health should be asking for an opinion about whether the employee would qualify for ill health retirement

Enquiring about ill health retirement does not imply that the relevant pension scheme will accept an application for the employee to receive a pension on health grounds.

A formal meeting should be then arranged to consider whether dismissal on the grounds of capability is appropriate.

# 13.3 Dismissal on Grounds of Capability

Any decision to dismiss on grounds of incapacity due to sickness/ill-health is separate from any application or decision to award an ill-health pension and there is no requirement to delay proceeding with a capability dismissal until a decision is made about ill health retirement.

Termination of employment on the grounds of capability will be considered as last resort, if the following criteria are satisfied:

contact and assistance, or attempted contact, has been made and provided throughout the employee's absence;

where the employee has failed to make contact despite attempts by managers, a decision to dismiss will be based on all available information;

adequate medical evidence is available which indicates a return to work is unlikely within a reasonable time frame;

the employee has been fully consulted and given an opportunity to respond at each stage;

consideration for suitable alternative employment has been exhausted;

any feasible modifications to the working area and/or role have been exhausted;

ill health retirement has been considered

The procedure to be followed will be as described in the Capability Policy