



25 September 2018

Dear Sir/Madam

A meeting of the Policy and Performance Committee will be held on Wednesday, 3 October 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	

AGENDA

1. APOLOGIES FOR ABSENCE

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 4 July 2018.

4. REFERENCES

- 4.1 Local Joint Consultative Committee – 13 September 2018
CAPABILITY POLICY

PAGE 8

The Joint Committee considered the changes to the Capability Policy which included further guidance for managers on identifying the difference between capability and disciplinary matters. Timely intervention of capability issues has also been identified and emphasised as well as consultation with HR throughout. A copy of the policy is circulated separately with this agenda.

RECOMMENDED to the Policy and Performance Committee that amendments to the Capability Policy be added to the Conditions of Service for employees.

- 4.2 Local Joint Consultative Committee – 13 September 2018
PROBATION POLICY

PAGE 9

The Joint Committee considered the amendments to the Probation Policy which place the onus on the employee to ensure that they are actively seeking to fulfil their substantive duties by undertaking any training opportunities offered to them. A copy of the policy is circulated separately with this agenda.

RECOMMENDED to the Policy and Performance Committee that amendments to the Probation Policy be added to the Conditions of Service for employees.

- 4.3 Local Joint Consultative Committee – 13 September 2018
FLEXIBLE WORKING POLICY

PAGE 10

The Joint Committee noted that in 2014, the Government updated legislation in relation to the right to request flexible working for all employees. This policy reflects those changes. A copy of the policy is circulated separately with this agenda.

RECOMMENDED to the Policy and Performance Committee that amendments to the Change of Working Hours (retitled Flexible Working) Policy be added to the Conditions of Service for employees.

- 4.4 Local Joint Consultative Committee – 13 September 2018
JOB SHARING POLICY

PAGE 11

The Joint Committee noted that not all posts are suitable for job share consideration, and where a Head of Service chooses to reject a request, they must consult with the HR Team. A copy of the policy is circulated separately with this agenda.

RECOMMENDED to the Policy and Performance Committee that amendments to the Job Sharing Policy be added to the Conditions of Service for employees.

- 4.5 Local Joint Consultative Committee – 13 September 2018
LEAVE SCHEME PAGE 12

The Joint Committee noted a number of additions and amendments have been made to the existing Leave Scheme. Employees attending Court cases on behalf the Council will have the appropriate time credited back to them, although those attending Court on personal matters will not.. A copy of the policy is circulated separately with this agenda.

RECOMMENDED to the Policy and Performance Committee that amendments to the Leave Scheme (and the deletion of the Compassionate Leave and Emergency Time off for Dependents schemes) be added to the Conditions of Service for employees.

- 4.6 Local Joint Consultative Committee – 13 September 2018
REDEPLOYMENT POLICY PAGE 13

The Joint Committee noted that the Redeployment Policy went through LJCC/Policy and Performance in February 2018 and a number of minor alterations have been proposed. A copy of the policy is circulated separately with this agenda.

RECOMMENDED to the Policy and Performance Committee that amendments to amendments to the Redeployment Policy be added to the Conditions of Service for employees.

5. BEESTON TOWN HALL PAGES 14 - 18

To consider whether the Town Hall should be declared surplus to requirements.

6. BEESTON TOWN CENTRE REDEVELOPMENT PAGE 19

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

7. INCUBATOR HUB, BEESTON TOWN CENTRE PAGE 20

To propose the best method to let the 'Incubator Hub' in Beeston Square following its conversion to office use.

8. OPEN WATER EDUCATION NETWORK TRUST PAGES 21 - 22

To recommend to the Finance and Resources Committee that a payment of £3,000 per year be made to Liberty Leisure to enable water safety education in schools to be undertaken in support of the Open Water Network Trust (OWEN Trust) and to note the use of Council resources to provide equipment and other support to the OWEN Trust.

9. PRIVATE SECTOR HOUSING OFFICER PAGES 23 - 24
- To advise members of changes to the mandatory licensing of Houses in Multiple Occupation and to seek approval to appoint an officer to undertake the extra duties.
10. GARDEN COMMUNITIES BID PAGES 25 - 35
- To obtain approval to provide £10,000 for consultancy support of a joint bid from Broxtowe Borough Council and the Chetwynd (Toton and Chilwell) Neighbourhood Forum in an effort to secure additional government funding to assist in addressing infrastructure issues relating to housing delivery at the Chetwynd Barracks site.
11. SHARED SERVICES ANNUAL REPORT PAGES 36 - 52
- To inform members of current shared service arrangements and proposals for the future.
12. REVIEW OF CORPORATE PLAN PROGRESS AND FINANCIAL PERFORMANCE PAGES 53 - 70
- To report progress against outcome targets linked to Corporate Plan priorities and objectives and to provide an update as to the latest financial performance as measured against the budget.
13. EXERCISE OF THE CHIEF EXECUTIVE'S URGENCY POWERS PAGE 71
- To ask the Committee to note the exercise of the Chief Executive's urgency powers.
14. WORK PROGRAMME PAGE 72
- To consider items for inclusion in the Work Programme for future meetings.
15. EXCLUSION OF PUBLIC AND PRESS
- 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 item of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraphs 1 and 2 of Schedule 12A of the Act.**
16. REFERENCE
- 16.1 Housing Committee – 19 September
HOUSING SECTIONS RESTRUCTURE PAGES 73 - 86

17. EXERCISE OF THE CHIEF EXECUTIVE'S
URGENCY POWERS

PAGES 87 - 88

POLICY AND PERFORMANCE COMMITTEE

4 JULY 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)

An apology for absence was received from Councillor D A Elliott.

1. DECLARATIONS OF INTEREST

There were no declarations of interest.

2. MINUTES

The minutes of the meeting held on 17 April 2018 were confirmed and signed.

3. REFERENCES

3.1 Local Joint Consultative Committee – 14 June 2018
ALCOHOL AND DRUG MISUSE POLICY

The Joint Committee had considered the amendments to the Alcohol and Drug Misuse Policy. The amendments to the policy were 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.

RESOLVED that the revisions to the Alcohol and Drug Misuse Policy within the Conditions of Service for employees be approved.

3.2 Local Joint Consultative Committee – 14 June 2018
AMENDMENTS TO CONTRACT OF EMPLOYMENT

The Joint Committee had 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.

RESOLVED that the revisions to the Written Statement of Employment Particulars within the Conditions of Service for employees be approved.

3.3 Local Joint Consultative Committee – 14 June 2018
AMENDMENTS TO CONTRACT OF EMPLOYMENT

The Joint Committee had considered the amendments to the 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.

RESOLVED that the Attendance Management Policy within the Conditions of Service for employees be approved.

4. FUTURE OF THE TOWN HALL BEESTON – PROPOSALS SUBMITTED

In April 2018 the 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. 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 two bids received were from a proposed Charitable Incorporated Organisation based on a number of Beeston-based community groups and a Beeston-based church 'plant' from a major church elsewhere in Nottingham.

Members were informed that if sensitive matters contained within the exempt appendix were not discussed then the item could be considered in open session. Dismay was expressed that information contained within the exempt appendix had been published by external means prior to the meeting. Members described the leak as an alarming precedent which may stop the Council from achieving best value for the building.

It was suggested that the Council should work with the groups for an acceptable outcome that did not place a financial strain on the Council.

RESOLVED that Council officers continue to work with both remaining groups which have submitted bids with a view to enabling one or other of them (or through enabling them to work together) to provide an outcome which delivers good value to the Council and good community use of the Town Hall building. For the avoidance of doubt this means both groups will be enabled to further improve their bid.

(Having declared a pecuniary interest in the item Councillor J C Patrick left the meeting before discussion or voting thereon.)

5. BEESTON TOWN CENTRE REDEVELOPMENT

Members noted a report on progress on The Square Phase 2 in Beeston and its exempt appendix. 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. It was stated that no risks could be taken with the Council's finances and it was important to undertake the project in the correct manner. It was likely that planning permission would be considered during October.

6. BUSINESS AND FINANCIAL PLANS OUTTURN 2017/18

Members noted the progress made in achieving the Corporate Plan priorities and with regard to the financial position for 2017/18. The following comments were amongst those made:

- There was concern over town centre units and high street jobs. The Secretary of State had been contacted and it was important for all parties to know rates long into the future. Reports on town centres would be submitted to the Jobs and Economy Committee in future.
- Tram compensation discussions were on-going.
- CCTV was being used to counter fly tipping and although incidents were reducing the scale of incidents had increased. A range of processes were being considered to address the issue.
- There had been a noticeable increase in weeds and litter in the borough. This was partly due to the malfunction of a mini sweeper and the next dispersal of weed killer being due in September.
- Levels of domestic violence were high. There was an action plan in place which would be considered by the Community Safety Committee which included points for young people and victims.
- Working days lost due to sickness absence was considered and it was stated that there had been a reduction in short term sickness. Peaks related to serious issues that skewed figures with regards to work related stress in the Housing department. As time progressed the figures showed a reduction. Referrals to PAM Assist had received positive feedback but it was possible that all avenues in this area had not been explored.
- Training for councillors on Universal Credit would be held in October in order to assist with helping the most vulnerable in the borough. Residents would be supported by an extra officer if the requirements demand such action.
- An explanation of Other Charges contained within the Hosing Revenue Account would be distributed to members.
- The cost of agency staff at Kimberley Depot was high but they were needed to cover sickness to provide fully staffed refuse collection teams. A report on agency staff would be submitted to the relevant committee in due course.

- The Council had the lowest number of compulsory redundancies compared to any other authority in the area.

7. ANNUAL REVIEW OF THE CORPORATE PLAN 2016-2020

The Committee considered whether any adjustment was required to the Corporate Plan priorities, objectives and targets in the light of the experience of the second year of implementation in 2017/18.

RESOLVED that the current Corporate Plan 2016-20 Priorities and Objectives be maintained.

8. CARE LEAVERS' COUNCIL TAX REDUCTION SCHEME

The Council has the discretion to reduce the council tax liability for individuals or prescribed groups as it thinks fit. The proposed scheme is in addition to the Council's Local Council Tax Support Scheme (LCTSS) and would 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 would only be applied after all other relevant discounts and exemptions. It was anticipated that most care leavers would 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.

It was agreed that an appeal before members be added to the process following an unsuccessful application and an initial appeal to the Council's Revenues Team.

RESOLVED that:

1. **The implementation of the Care Leavers' Council Tax Reduction Scheme be adopted.**
2. **The Head of Revenues and Benefits be delegated the authority to decide upon the award of Care Leavers' Council Tax Reduction Scheme, with unsuccessful applicants having the right to appeal to a Member Panel following and appeal to the Council's Revenue Team.**

RECOMMENDED 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.

9. BROXTOWE LOTTO – DELEGATION OF AUTHORITY TO APPROVE GOOD CAUSES

On 15 February 2018 the Council's Finance and Resources Committee agreed to establish a local lottery, now known as the Broxtowe Lotto. Preparations were underway for a promotional launch on 18 July 2018 at which good causes would sign up to the Lotto. In other lotteries run by local authorities, good causes applied to participate in the Lotto via e-mail and once it was agreed that the criteria had been met, their details were passed to Gatherwell, the external Lottery Managers which then created a webpage for each individual good cause.

The Commercial Manager was the only person whom the Gambling Commission recognised 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 was proposed that the Commercial Manager was responsible for identifying which good causes meet Broxtowe's criteria for inclusion in the Lotto.

RECOMMENDED 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.

10. REVISION OF THE COUNCIL'S MAJOR EMERGENCY PLAN

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.

RESOLVED that the revised Major Emergency Plan be approved.

11. REVISION OF THE COUNCILLORS' EMERGENCY PLAN

Members considered revisions to the Councillors' Emergency Plan in order for them to be aware of the Council's responsibilities under the Civil Contingencies Act and the role they could play before, during, and after an incident or emergency.

RESOLVED that the revised Councillors' Emergency Plan be approved.

12. REVISION OF THE HEALTH AND SAFETY POLICY

The Health and Safety Policy Statement specifies the binding commitment of the Council in that health and safety ranks 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 on-going commitment.

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 was demonstrating its continual commitment to ensuring the health, safety and welfare of its employees.

RESOLVED that the revised Health and Safety Policy be approved.

13. COMMUNICATIONS AND ENGAGEMENT STRATEGY

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

RESOLVED that the Communications and Engagement Strategy 2018-21 be approved.

14. INDEPENDENT REVIEW OF RETIREMENT LIVING SERVICE

Following an independent review by Housing Quality Network 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.

Figures were circulated in respect of three voluntary redundancy requests with end dates of 31 July 2018, although only one was ready for consideration by the Committee.

RESOLVED that:

- 1. The proposed new Independent living structure set out in appendix 2 of the report be approved.**
- 2. The voluntary redundancy request of the relevant Retirement Living Officer be approved.**

15. STAPLEFORD COMMUNITY CENTRE

Members noted a report which stated that various options continued to be explored for Cliffe Hill Community Centre in order to ensure that suitable community facilities could be provided in Stapleford in addition to existing Council assets being fully utilised.

16. WORK PROGRAMME

RESOLVED that the Work Programme be approved.

17. EXCLUSION OF PUBLIC AND PRESS

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 paragraph 3 of Schedule 12A of the Act.

18. FUTURE OF THE TOWN HALL BEESTON – PROPOSALS SUBMITTED APPENDIX

Members noted a report on the future of the Town Hall Beeston.

(Councillor J C Patrick, having declared a pecuniary interest, left the meeting before discussion thereon. Councillor G Marshall left the meeting before discussion thereon on an unrelated matter.)

19. BEESTON TOWN CENTRE REDEVELOPMENT – APPENDIX

Members noted a report on Beeston Town Centre Redevelopment.

Report of the HR Manager

CAPABILITY POLICY

1. Purpose of report

To consider amendments to the Capability Policy.

2. Detail

Further guidance for managers has been added, identifying the difference between capability and disciplinary matters. Timely intervention of capability issues has also been identified and emphasised as well as consultation with HR throughout.

Timescales between formal stages and review periods have been identified as between one and three months in order for managers to have a clear understanding.

The appeals process has been imported from the new Disciplinary Policy to ensure uniformity, including outlining reasons for an appeal.

The term 'Caution' has been removed to avoid any confusion with disciplinary action.

The term 'Employment Transfer' has been replaced with 'Redeployment' to ensure that it is in line with the Council's Redeployment Policy.

The Rehearing option has been removed, mainly due to the fact that this option has never been exercised by an employee, and employees can make an appeal against a formal Capability decision citing further evidence being brought to light which may have not been previously available at the time of the decision.

The Capability process itself has not been altered.

A copy of the revised Capability Policy is circulated separately with this agenda.

Recommendation

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

Background papers

Nil

Report of the HR Manager

PROBATION POLICY

1. Purpose of report

To consider amendments to the Probation Policy.

2. Detail

Onus has been put on the employee to ensure that they are actively seeking to fulfil their substantive duties by undertaking any training opportunities offered to them.

Similarly to the Capability Policy, dealing with probation issues promptly has been emphasised.

Probation periods also apply to established members of staff who have been promoted, redeployed or redesignated to a new position under a restructure. Where issues arise during the probation period for those employees, the Council's Capability Policy should be used.

Any employee undertaking a trial period as part of a redeployment process will have the length of the trial deducted from their six month probation if successfully redeployed.

The Probation process itself has not been altered.

A copy of the revised Probation Policy is circulated separately with this agenda.

Recommendation

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

Background papers

Nil

Report of the HR Manager

FLEXIBLE WORKING POLICY

1. Purpose of report

To consider amendments to the Change of Working Hours Policy and Procedure.

2. Detail

In 2014, the Government updated legislation in relation to the right to request flexible working for all employees. This policy reflects those changes.

<http://www.legislation.gov.uk/ukxi/2014/1398/made>

The scope of the policy (including the title) ensures compliance with the updated legislation – which is that all employees can request the right, rather than just those with childcare.

The business needs and operational requirements will determine what request can be agreed, and a decision to grant one employee's specific request does not mean a similar request from another employee will be automatically granted. Arrangements can also be temporary or permanent dependent upon circumstances.

HR must be consulted throughout.

Appeals against refusals have been extended to 10 working days

The application process itself has not been altered.

Copies of the revised Flexible Working Policy and the Flexible Working Request Form are circulated separately with this agenda.

Recommendation

The Local Joint Consultative Committee is asked to RECOMMEND to the Policy and Performance Committee amendments to the Change of Working Hours (retitled Flexible Working) Policy to the Conditions of Service for employees.

Background papers

Nil

Report of the HR Manager

JOB SHARING POLICY

1. Purpose of report

To consider amendments to the Job Sharing Policy.

2. Detail

Not all posts are suitable for job share consideration, and where a Head of Service chooses to reject a request, they must consult with the HR Team.

The Job Sharing Policy is intrinsically linked to the Flexible Working Policy in terms of eligibility and business reasons, and also in line with The Flexible Working Regulations 2014.

The application process itself has not been altered.

A copy of the Job Sharing Policy is circulated separately with this agenda.

Recommendation

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

Background papers

Nil

Report of the HR Manager

LEAVE SCHEME

1. Purpose of report

To consider amendments to the Leave Scheme.

2. Detail

A number of additions and amendments have been made to the existing Leave Scheme. Employees attending Court cases on behalf the Council will have the appropriate time credited back to them, although those attending Court on personal matters will not.

Shared Parental Leave has been added since the introduction of legislation in 2014.

The Compassionate Leave scheme and Emergency Time off for Dependents scheme have now been incorporated into this policy in order to reduce the amount of Council HR policies, with the proposal to delete the separate policies should the amendments to this scheme be approved.

During periods of suspension from duty, employees must make themselves available to facilitate investigatory meetings, however, should they wish to be unavailable, annual leave must be requested and booked in the normal way.

Untaken annual leave due to periods of sickness absence can be carried forward up to the statutory maximum (28 days) less annual leave already taken and employees moving onto half pay due to sickness should be encouraged to use annual leave to bring their pay back up to full.

Long service awards have been extended to recognise those with more than 35 years' service – this has been recognised in multiples of five years.

A copy of the leave scheme is circulated separately with the agenda.

Recommendation

The Local Joint Consultative Committee is asked to RECOMMEND to the Policy and Performance Committee amendments to the Leave Scheme (and the deletion of the Compassionate Leave and Emergency Time off for Dependents schemes) to the Conditions of Service for employees.

Background papers

Nil

Report of the HR Manager

REDEPLOYMENT POLICY

1. Purpose of report

To consider amendments to the Redeployment Policy.

2. Detail

The Redeployment Policy went through LJCC/Policy & Performance in February 2018 and a number of minor alterations have been proposed.

Firstly, requests for Redeployment should only be made once a year and where multiple requests are made, other Council HR policies may be appropriate e.g. Capability.

Previously, employees on the Redeployment Register could only be placed on there for up to 26 weeks; this has been clarified to state that those seeking redeployment for personal or reasons of bullying can stay on the register indefinitely. The time limit only applies to those who are under time-limited circumstances e.g. cases of redundancy or medical reasons.

Employees on the Register due to the latter two reasons cited above, will be given their contractual notice at the appropriate time within the 26 weeks to ensure that their last day of service coincides with their last day on the Register.

Any employee who undertakes a trial period in a redeployment post, will be placed in the trial period for up to 8 weeks and if successful, the length of the trial will then be deducted from their normal six month probation period.

Recommendation

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

Background papers

Nil

Report of the Interim Deputy Chief Executive

BEESTON TOWN HALL1. Purpose of report

To consider whether the Town Hall should be declared surplus to requirements.

2. Background

Committee will recall recent previous reports regarding the potential future of the Town Hall in Beeston. At its meeting of 4 July 2018 this Committee resolved to:

“Continue to work with both remaining groups which have submitted bids with a view to enabling one or other of them (or through enabling them to work together) to provide an outcome which delivers good value to the Council and good community use of the building.”

A report on this process will be brought to Full Council for a decision on 17 October 2018.

Also of relevance is the Land Disposals Policy approved by this Committee on 21 November 2017 - *“When considering potential disposals the Committee must: satisfy itself that the land or property in question is either surplus or under-used”*.

This Committee should therefore address the issue of whether the Town Hall should be declared surplus to requirements by virtue of being surplus or underused.

3. Uses of the Town Hall

The current three main uses of the Town Hall are as follows:

- A base for 20 staff
- The location of the IT server room
- The location of the political suite (debating chambers and offices)

Further details are given in the appendix, along with more detailed analysis and an options appraisal.

4. Financial implications

These were outlined to the 4 July 2018 meeting of Committee, since when further clarification of bidders' financial and community benefit has emerged. An update and recommendation regarding the bids will be tabled at Full Council on 17 October 2018. Further financial details are also given in the appendix to this report.

Recommendations

The Committee is asked to RESOLVE that Beeston Town Hall be declared surplus to requirements.

Background papers - Nil

Historic, current and future use of the Town Hall

Function (number of staff)	Date vacated / planned to vacate the Town Hall	Staff remaining
Health and Safety team (2)	2015	30
Corporate Comms team (3)	October 2017	27
Chief Executive and Civic Office team (3)	November 2017	24
HR team (4)	November 2017	20
Training team (2)	Expected October 2018	18
Payroll and HR Admin team (5)	Expected December 2018	13
IT teams and Server Room (13)	To be decided	Zero
Unison Office (interview/storage room)	Expected early 2019	
Debating chambers and political offices (n/a)	To be decided	
CCTV camera reception and transmission masts (n/a)	It is probable that these could remain in situ until the equipment is life expired**	

*By way of comparison the main Council offices accommodate over 200 Council staff plus Police and CAB functions.

**Neither of the two bids received physically require relocation of this equipment, although both bids received would require appropriate arrangements to be made for secured on-going access.

Is Beeston Town Hall surplus to requirements?

As part of its continuing efficiency and economy measures, Broxtowe Borough Council is undertaking a rolling process of asset evaluation. This includes such metrics as potential value on realisation, costs in use, state of repair and utilisation.

Beeston Town Hall is proportionately more expensive to run and maintain, and is less efficiently used than the main Council offices at Foster Avenue. As such, a number of functions have already been relocated as detailed above. The basement is used only for storage of some files and equipment, and the second floor is now unused. By the end of this financial year it is anticipated that only the IT and political functions will remain. These could be moved to alternative accommodation and the Town Hall fully vacated.

The annual running costs of the Town Hall are around £100,000 and approximately £85,000 of these costs would be saved by the Council if the Town Hall was sold or full responsibility passed to another organisation (the £15,000 difference between these two figures is accounted for by the costs that would migrate/stay with the remaining staff and functions – eg. electricity costs for the server room and consumables for the staff).

Independent valuation advice for a potential sale of the Town Hall has been obtained from two Chartered Surveyors as reported to members of this Committee on 17 April and 4 July 2018. The cost of re-locating the remaining services, if members choose to do this, can be contained within the minimum freehold disposal estimate – the degree to which they would be contained depending mainly on the specification adopted for the political suite.

A broad brush of such costs is given below:

Function	Estimated cost to re-locate
IT teams and Server Room	£120,000
Debating chambers and political offices	£50,000 to open ended depending on specification adopted, extent of works etc
CCTV camera reception and transmission masts	It is probable that these could remain in situ until the equipment is life expired

As previously reported to this Committee there is strong local opinion in favour of retaining the town hall in substantially its existing form and allowing some degree of continuing public access.

Whilst the mode of disposal has been discussed at previous meetings, the property has yet to be declared surplus in accordance with the Land and Property Disposals Policy (this was approved in November 2017 after the process of considering the future of the Town Hall had already begun). This proposal addresses the surplus issue.

In the interests of probity, an options appraisal has been undertaken and is detailed below (this should also be read in conjunction with the reports produced by HEB and Innes England and reported to Committee on 6 February 2018):

Option A: Retain Town Hall in Council use, sub-letting any surplus accommodation

Assuming that the only retained accommodation would be the IT suite and political areas, these account for approximately 50% of the 1,160m² net area as currently configured. The New Council Chamber could potentially be used by third parties but its layout would only really make it suitable for formal presentations, lectures, etc. This would leave the following approximate split:

Private areas (ICT suite, political suite):	350m ²
Occasional use areas (New Council Chamber):	225m ²
Available for hire:	575m ²

The currently un (der)-used accommodation could be potentially let in four different modes:

a. Sub-let for traditional offices

In existing condition, valuers have suggested rents of around £60/m² or £115/m² refurbished. This would equate to rents of £35,000 and £65,000 per annum respectively.

Even if let in existing condition, investment would be required to create discrete occupation from retained Council activities, split utilities, upgrade to DDA compliance, etc.

Even allowing for potential “top-up” income from occasional uses (see below), this would fall short of the budgeted saving.

b. Serviced accommodation

Valuation advice suggests that this could command rents of around £160/m². This translates to a potential income of circa £92,000 p.a. However, this would require significant investment to upgrade the accommodation, improve security and improve accessibility and the like. There would also need to be increased revenue expenditure for management services, “soft” facilities, etc. Given that revenue costs for 2016/17 were already £100,000, this option is not viable.

c. Occasional hire

This is very difficult to forecast, so it might be appropriate to adopt the figures proposed by one of the community bidders. In year 3 of their business plan, a blended hire income of £157,500 was assumed. Pro rata to retained Council uses, it is difficult to see income in excess of £100,000 per annum being achieved. For this, considerable investment would be required – similar to above – together with intensive janitorial and security services – and a booking management service (perhaps through LLeisure).

d. Functions

For large-scale functions such as weddings and party venues, investment would be required on infrastructure such as upgrading and extending kitchens, bar provision, improved accessibility, etc. As such, this is unlikely to generate any greater income than occasional uses as above.

It is important to note that the Registrar Service has advised that there is no current appetite for their possibly moving from the Library to the Town Hall.

All of the above shared use options would require significant capital expenditure and increased revenue costs.

Option B: Offer the property for sale on the open market

Valuation advice received by the Council shows a wide range of values for a variety of potential uses. The valuers have also commented that this is a difficult property to value due to a combination of its fairly unique character, a “thin” potential demand and a paucity of comparable market evidence. Their figures were reported to this Committee on 17 April and 4 July 2018.

One concern to consider is the potential market reaction to the property being brought to the open market. That the Council has sought to secure a community-minded organisation who could take on the Town Hall is well known – as is the controversy surrounding this action. As such, marketing could result in a lukewarm response.

Option C: Offer the property to community groups or similar

This has already been tested and will be reported to Full Council on 17 October 2018.

Conclusion

Any action short of disposing of the Town Hall (by sale or by full maintenance long term lease) will not crystallise budgetary assumptions and would leave the Council with an on-going liability for an inefficient and ageing building.

Given recent events and community passion, an open marketing campaign may not be well received by potential purchasers or developers.

There is a good prospect of securing a community use that would see the Town Hall being re-used with a secure future. This would assist with on-going Council efficiency measures and confer potential community benefit. The costs of final relocation should be more than capable of being met from disposal proceeds if that is the decision that Full Council makes.

It is therefore recommended that the Town Hall be declared surplus to requirements.

Report of the Interim Deputy Chief Executive

BEESTON TOWN CENTRE REDEVELOPMENT1. 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. Key updates

- The Project Board met and considered progress on 10 September 2018.
- Planning permission was granted on 12 September 2018.
- The marketing and sale of the residential element of the site is now well underway.
- One key pre-let has been provisionally secured and negotiations with other prospective operators/occupiers continue.
- A verbal update on the commercial negotiations will be provided during the exempt session of the Committee by the interim Deputy Chief Executive and the interim Regeneration Project Manager.
- "Beeston on Sands" returned successfully to the site during the school summer holidays.

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 (now secured)
- Legally-binding sale agreement for residential site.

4. Financial implications

These were outlined to the April 2018 meeting of Committee.

Recommendations

The Committee is asked to NOTE this report and any further verbal update provided.

Background papers

Nil

Report of the Chief Executive

INCUBATOR HUB, BEESTON TOWN CENTRE – RENTAL PLAN1. Purpose of report

To propose the best method to let the 'Incubator Hub' in Beeston Square following its conversion to office use. A suitable balance needs to be struck between encouraging new businesses to grow, and ensuring a suitable rate of return for the Council.

2. Background and suggested approach

The conversion of three flats above the square into offices has now been completed, following the relocation of previous tenants. The first office shall be let in the usual way, and under the usual adopted procedures, and ensure an initial wave of activity that encourages collaboration and future site occupation. (Setting of rents at The Square, Beeston, up to £100 000, is delegated by Full Council to the appropriate officers).

The other two offices are being utilised as incubator space and as such it is proposed to let these in a different manner to usual, and as such Committee approval is sought.

The suggested approach would be outlined as follows:

Unit 2s and 3 – Utilise as incubation units on the basis of a four year rent return plan
Year 1 – Nominal charge that covers NNDR and utilities (so no net loss overall)
Year 2 – As year 1 plus 1/3 commercial rent
Year 3 – As year 1 plus 2/3 Commercial rent
Year 4 – As year 1 plus full commercial rent
End of Year 4 – Serve notice to the tenants

Any new occupiers within the incubator space will sign an appropriately drafted legal agreement in line with the terms outlined above, which will also include the exclusion of normal Landlord and Tenant Act business tenancy security.

The running and marketing of these units will be split between the Estates team and the Economic Regeneration team, assisted by the Commercial Manager. This project enables the Council to make progress towards encouraging business start-ups, which are key aims of the Economic Regeneration Strategy and the Commercial Strategy.

3. Financial implications

It is estimated that Unit 1 would yield a rent return of approximately £5,500 - £6,000 per annum (excludes business rates) that would assist in recouping the initial outlay for converting these units. Units 2 and 3 would yield some rent return in the longer term with a likely rent of £1,000 per annum, per desk initially to cover costs (year 1) then increasing accordingly. Staffing costs can be covered within existing resources.

Recommendations

The Committee is asked to RESOLVE to give permission to the Regeneration Manager and the Estates Manager to proceed on the basis suggested above, within the existing scheme of delegation for the letting of properties at The Square.

Background papers

Nil

Report of the Head of Public Protection

OPEN WATER EDUCATION NETWORK TRUST1. Purpose of report

To recommend to the Finance and Resources Committee that a payment of £3,000 per year be made to Liberty Leisure to enable water safety education in schools to be undertaken in support of the Open Water Network Trust (OWEN Trust) and to note the use of Council resources to provide equipment and other support to the OWEN Trust.

2. Detail

Members will be aware of the terrible tragedy which occurred in July 2017 when 12 year old Owen Jenkins lost his life while rescuing two girls from the water at Beeston Weir. Since that time, Broxtowe Borough Council has been involved in a number of initiatives in the borough and across the county to improve water safety. Further details are set out in the appendix. Liberty Leisure have played a key role in these initiatives and it is proposed that they are paid £3,000 per annum to enable this to continue.

It is also considered that the OWEN Trust would benefit from having a projector, practice throw line and street art and it is proposed that this be supported by the Council.

3. Financial implications

The management fee to be paid to Liberty Leisure in 2018/19 for the provision of leisure and cultural activities has been agreed at £1,030,000. The cost of the additional £3,000 in 2018/19 as set out above can be met from the 2018/19 contingency reserve of which £25,000 is presently available. The cost of this work in future years will form part of the negotiations between the Council and Liberty Leisure on the management fee.

The cost of the projector, practice throw lines and street art (estimated at this stage at £2,000) can be met from the £33,700 in the 2018/19 capital programme for water safety measures.

Recommendation

The Committee is asked to:

- (1) **RECOMMEND to Finance and Resources Committee that a contribution of £3,000 be made to Liberty Leisure in 2018/19 for work in support of the OWEN Trust and funded from revenue contingencies.**
- (2) **NOTE the use of some of the £33,700 in the 2018/19 capital programme for water safety measures for the purchase of practice throw lines, a projector, and commissioning of water safety themed street art.**

Background papers

Nil

APPENDIX

Many of the positive initiatives have been driven by Owen's family. They have worked tirelessly to promote the cause of water safety and have founded the OWEN Trust in his memory. The name of the trust, as well as being a reference to Owen himself, is an acronym for Open Water Education Network. The aim of the trust is to spread a positive message about water safety to as many children as possible to ensure more lives are not lost.

Liberty Leisure, who manage the Council's leisure services, have been working closely with the OWEN Trust and other partners to develop relevant training courses and resources. This link, and the input of Liberty Leisure, have been identified by the Trust as extremely beneficial, and they would like to see this involvement continue. A sum of £3,000 per annum paid by the Council to Liberty Leisure would enable this aspect of the Trust's work to continue. This would include the provision of drowning prevention workshops, ambassador training, cold water winter workshops and school assemblies.

It has also been identified that the work would benefit greatly by having a projector and practice throw-lines. Also, the provision of some commissioned street art at the weir, along the lines of that in Beeston, promoting the water safety message is considered to be a positive action. It is estimated that these costs are approximately £2,000. There is a sum of £33,700 in the 2018/19 capital programme for the provision of various water safety measures aimed at improving safety on watercourses owned and/or maintained by the Borough Council and this will be used, among other things, to meet cost of these items for the OWEN Trust.

Report of the Chief Executive

PRIVATE SECTOR HOUSING OFFICER1. Purpose of report

To advise members of changes to the mandatory licensing of Houses in Multiple Occupation (HMOs) and to seek approval to appoint an officer to undertake the extra duties.

2. Detail

In 2006, the government introduced mandatory licensing of HMOs for houses of three or more storeys occupied by five or more unrelated people in two or more households (this does not apply to self-contained flats). Licences need to be renewed after five years.

The government is extending mandatory licensing of HMOs to cover all properties with five or more occupiers living in two or more households and sharing amenities, regardless of the number of storeys. The necessary regulations will come into force in October 2018. There will also be changes to the mandatory licensing requirements to include conditions on refuse disposal and minimum room sizes.

Currently there are 82 HMOs which are licensed within the borough. This number has increased steadily in recent years. Problems emerging from the growth of the sector are obvious as typically this type of accommodation can become the domain of last resort, home to transient individuals, and people with no other choice, the vulnerable, the economically deprived and socially isolated. It is also considered that these types of properties pose the greatest risk to its occupants due to the nature of shared amenities and the diverse occupants. However, it should also be noted that there has also been a rise in Broxtowe in the number of HMOs for professional workers not wishing to rent a whole dwelling.

Based on our research, there are 136 known extra HMOs which will require licensing under the new regulations in Broxtowe. However, central government guidance indicates an estimated increase of 300% in licensable HMOs. This would give rise to an estimated extra 246 in Broxtowe. On current licence costs (£475 per licence), this will amount to extra income of between £64,600 and £116,858. Additional resources will be required to administer the extra work. It is considered that this could be addressed by the appointment of a part-time (0.6 Full Time Equivalent (FTE)) permanent Private Sector Housing Officer. The details are shown in the appendix.

Recommendation

Committee is asked to REOLVE that the appointment of a part-time (0.6 FTE) permanent Private Sector Housing Officer be approved.

Background papers

Nil

APPENDIX

Staffing proposals for extended HMO licensing**Appoint part time (0.6 FTE) permanent Private Sector Housing Officer**

Costs at grade maxima (Grade 9 – SCP 44) including employers national insurance and superannuation costs would be £38,009 x 0.6 = £22,805 pa.

Income from licensing fees, based on known extra licensable HMOs
£64,600 (NB Income likely to be more than this)

Cost over five years £114,025 - £64,600
= £49,425

Cost per annum £9,885

The advantages of appointing a permanent officer as opposed to a fixed term contract are:

- Some limited pro-active enforcement of HMO standards in both licensable and non-licensable HMOs could be introduced. Currently, inspection of licensable HMOs only occurs at the time of licence issue/renewal. Inspection of non-licensable HMOs only occurs in a reactive manner on receipt of tenant complaint.
- All licence applications, including any which come in after Year 1, would be processed promptly.
- Limited amount of resilience provided in Private Sector Housing team for whole range of duties.
- No need for re-appointment of an officer at Year 6 when licences are renewed
- Some pro-active identification of properties used as HMOs
- Stability in workforce.
- Will ensure compliance with statutory duties.

Report of the Chief Executive

GARDEN COMMUNITIES BID1. Purpose of report

To obtain approval to provide £10,000 for consultancy support for a joint bid from Broxtowe Borough Council and the Chetwynd (Toton and Chilwell) Neighbourhood Forum in an effort to secure additional government funding to assist in addressing infrastructure issues relating to housing delivery at the Chetwynd Barracks site. The Government's prospectus is attached as an appendix to this report.

2. Background

The government published the prospectus in August 2018 and the deadline for bids is 9 November 2018. Jobs and Economy Committee approved the submission version of the Part 2 Local Plan which following discussions with the Neighbourhood Forum has sought to include the emerging expectations of the local community in the allocation. This identifies the delivery of 500 homes during the plan period (to 2028) but recognises that subject to addressing various infrastructure, place shaping and amenity issues, the site has capacity for 1,500 homes. The bidding process allows for bids on sites for 1,500 homes or more and if successful the bid could be used for the provision of highways and green infrastructure and also further necessary investigations regarding potential contamination given the military history of the site. It would also assist in achieving earlier delivery of housing than would otherwise be the case. With the Local Plan examination and other priorities there is not capacity within the Planning and Economic Development teams to give the detailed attention to this bid within the timescales.

3. Financial implications

There is currently no budget for the £10,000 requested, but this is intended to increase the likelihood of a successful bid, and although the details of this have not been established the request is likely to exceed £1,000,000 and could be considerably more depending on the further work that this request for £10,000 would enable.

Recommendation

The Committee is asked to RESOLVE that the request for £10,000 to be used to support a bid as outlined in the report, be approved.

Background papers

Nil



Ministry of Housing,
Communities &
Local Government

Garden Communities



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Contents

Foreword	4
Prospectus aims	5
What do we mean by garden communities?	5
Assessment criteria	5
Government offer of assistance	8
Application process	9

Foreword

It has been more than a century since Ebenezer Howard first outlined his idea of the garden city. He had a vision of places where people could work, raise families, travel easily and enjoy green spaces.

While the bleak industrial backdrop of Howard's Britain is a thing of the past, the need for great places to live is as strong as ever. Everyone deserves a decent, affordable and secure place to call home. Yet this most basic of needs can often be a struggle to achieve. Today's average house price is eight times the average income. Young people are half as likely as their parents to own their own home: a whole generation has been held back through no fault of its own.

The government is tackling this challenge from every angle. Since 2010, we have delivered more than a million homes. By the mid-2020s, we aim to have increased housebuilding to an average of 300,000 net new homes a year.

But it's not just about getting the numbers up. We don't have to make a false choice between quality and quantity. We can – and must – have both, and well-planned, well-designed, locally-led garden communities have an important part to play in meeting our housing needs.

As Ebenezer Howard recognised, we need to build places people are happy to call home, places where they can come together to form thriving communities, places that lift our spirits whether we live in them or merely pass through.

Our Garden Communities Programme renews this idea for the 21st Century. This prospectus sets out our vision and expectations for high-quality place-making across this country. It's a fresh opportunity to stimulate economic growth in new places, and a chance to aspire beyond identikit housing and town centres that look like anywhere and nowhere. It's a call to developers, investors, local authorities and local enterprise partnerships to build communities with local character, good employment opportunities, strong services, integrated and accessible transport, innovative uses of technology – and beautiful green spaces.

Our current programme supports 23 places that will deliver over 200,000 homes by the middle of the century. This prospectus is an important further step. We want to champion ambitious councils who see garden communities as a central to their plans for housing and growth. And we want to support the partnerships – between central and local government, and local government and the private sector – that will be key to delivering those plans.

We look forward to working with you to deliver the homes our country needs, but more importantly, to build the communities our country deserves.

We encourage local authorities and their private sector partners to come forward and tell us how we can assist them in delivering their vision for new garden communities.

Prospectus aims

1. This prospectus invites bids for ambitious, locally supported, proposals for new garden communities at scale. In return for tailored assistance to help design and deliver the vision for these places, we expect local areas to deliver significant housing and economic growth. We will look to assist as many as we can, in locations where there is sufficient demand for housing.

What do we mean by garden communities?

2. This prospectus does not prescribe a single template for a garden community. Each garden community we choose to assist will have its own clear and distinct sense of identity.
3. Equally, this is not about creating dormitory towns, or places which just use 'garden' as a convenient label. This is about setting clear expectations for the quality of the development and how this can be maintained (such as by following Garden City principles). We want to see vibrant, mixed-use, communities where people can live, work, and play for generations to come – communities which view themselves as the conservation areas of the future. Each will be holistically planned, self sustaining, and characterful. Whilst we do not want to impose a set of development principles on local areas, we expect that the garden communities to which we offer assistance will embrace the key qualities set out at paragraphs 13 a-j. Successful proposals will demonstrate how they are hard-wiring these qualities in from the start, supported by long term legacy and stewardship arrangements.

Assessment criteria

4. To be considered for government assistance, proposals for a new garden community must meet the criteria below.

Scale

5. These new garden communities should make a significant contribution to closing the housing supply gap. We will prioritise proposals for new Garden Towns (more than 10,000 homes), but will consider proposals for Garden Villages (1,500-10,000 homes) which are particularly strong in other aspects. For instance, demonstrating exceptional quality or innovations, development on predominantly brownfield sites, being in an area of particularly high housing demand, or ability to expand substantially further in the future.
6. Proposals can be for a discrete new settlement, or take the form of transformational development of an existing settlement, both in nature and in scale. All proposals must be of sufficient scale to be largely self-sustaining and genuinely mixed use as per paragraphs 13 b and c.
7. Where the garden community is proposed to take the form of transformational development to an existing settlement, it needs to meet the criteria set out in this prospectus. In addition, these proposals must highlight the transformational outcomes expected for the settlement as a whole (economic, environmental and social).

Strategic fit

8. These new garden communities should offer opportunities for significant long-term housing and economic growth in a local area.
9. All proposals must demonstrate how the new garden community fits with the housing need for the housing market area, including expected future population growth. We will prioritise proposals which respond to housing need in high demand areas. We also particularly welcome proposals which release more land through local plans to meet local housing need, and / or go above local housing need.
10. All proposals should demonstrate how the new garden community fits with wider strategies to support economic growth and increase productivity. We expect to see ambitious proposals which create a variety of new jobs and the timely delivery of infrastructure necessary to underpin this.

Locally-led

11. Strong local leadership is crucial to developing and delivering a long-term vision for these new communities. All proposals should have the backing of the local authorities in which they are situated, including the county council in two-tier areas. We are particularly interested in proposals which demonstrate collaboration across local authority boundaries. To ensure that the potential local growth benefits have been considered, it will be desirable for proposals to have the support of the Local Enterprise Partnership, where the area has one.
12. Proposals should set out how the local community is being, or will be, engaged and involved at an early stage, and strategies for continued community engagement and involvement. We are clear that local communities – both current and future residents – must have a meaningful say in developing the proposal from design to delivery.

Garden community qualities

13. High quality place-making is what makes garden communities exemplars of large new developments, and all proposals must set out a clear vision for the quality of the community and how this can be maintained in the long-term, for instance by following Garden City principles. Although we are not imposing a particular set of development principles on local areas, we do expect proposals to demonstrate how they will meet and embed the key qualities below.
 - a. **Clear identity** – a distinctive local identity as a new garden community, including at its heart an attractive and functioning centre and public realm.
 - b. **Sustainable scale** – built at a scale which supports the necessary infrastructure to allow the community to function self-sufficiently on a day to day basis, with the capacity for future growth to meet the evolving housing and economic needs of the local area.
 - c. **Well-designed places** – with vibrant mixed use communities that support a range of local employment types and premises, retail opportunities, recreational and community facilities.
 - d. **Great homes** – offer a wide range of high quality, distinctive homes. This includes affordable housing and a mix of tenures for all stages of life.

- e. **Strong local vision and engagement** – designed and executed with the engagement and involvement of the existing local community, and future residents and businesses. This should include consideration of how the natural and historic environment of the local area is reflected and respected.
- f. **Transport** –integrated, forward looking and accessible transport options that support economic prosperity and wellbeing for residents. This should include promotion of public transport, walking, and cycling so that settlements are easy to navigate, and facilitate simple and sustainable access to jobs, education, and services.
- g. **Healthy places** – designed to provide the choices and chances for all to live a healthy life, through taking a whole systems approach to key local health & wellbeing priorities and strategies.
- h. **Green space** – generous, accessible, and good quality green and blue infrastructure that promotes health, wellbeing, and quality of life, and considers opportunities to deliver environmental gains such as biodiversity net gain and enhancements to natural capital.
- i. **Legacy and stewardship arrangements** – should be in place for the care of community assets, infrastructure and public realm, for the benefit of the whole community.
- j. **Future proofed** – designed to be resilient places that allow for changing demographics, future growth, and the impacts of climate change including flood risk and water availability, with durable landscape and building design planned for generations to come. This should include anticipation of the opportunities presented by technological change such as driverless cars and renewable energy measures.

Deliverability and viability

14. We recognise that delivery of a new garden community is a complex, long-term project, which will deliver homes over a number of decades. That is why it is important for us to have confidence that proposals are deliverable, with an integrated approach to infrastructure, housing, business investment, employment and development.
15. We do not expect to see a detailed delivery plan at this stage, but we do expect to see credible outline proposals which demonstrate consideration of.
 - a. **Delivery models and timescales** – including the strength of existing commitments and partnerships, such as with master developers and land owners.
 - b. **Infrastructure requirements** – including access to road, rail, utility considerations (including high-speed broadband, flood, water supply, sewerage and waste), and plans for health, education, and other core social infrastructure.
 - c. **Opportunities to capture land value** – including through land acquisition and assembly, to help fund the long-term delivery and management of the garden community.

- d. **Access to finance and private sector investment** – including through direct investment, developer contributions, patient long-term finance and other opportunities attractive to investors.

Delivery time scales and accelerated delivery

16. We will prioritise proposals that offer a strong prospect of early delivery and a significant acceleration of housing delivery. They should consider the scope for innovative ways to deliver new homes, such as off-site construction, custom build and self-build, as well as providing opportunities for a diverse range of house builders. Priority will be given to proposals that can demonstrate how build out will be achieved at pace, whilst maintaining quality.

Government offer of assistance

17. Garden communities within the current programme receive a tailored package of Government support that includes resource funding, expert delivery advice from Homes England and cross-government brokerage to resolve barriers to delivery.
18. Proposals must set out which aspects of the support package below will best help enable delivery. Government will look to agree a package of support tailored to suit the scale and ambition of proposals.

Resource funding

19. Assistance could include seed capacity funding to enable delivery. This funding could, for example, be used to ensure the local authority has dedicated skilled, staff in place; fund the preparatory studies required to deliver high quality garden communities; and / or the sustained community engagement needed to develop a locally-supported vision. Experience from the current programme has shown the value of this funding in helping support the design and delivery of garden communities.

Delivery advice and support

20. Homes England has a major role to play in enabling the delivery of new homes and attracting private sector investment. We will work with successful proposals to establish what aspects of the Homes England offer, including the potential for capital investment or loans, will best drive delivery of the garden community.

Delivery vehicles

21. Delivering a new garden community requires long-term strategic thinking and robust delivery arrangements. There are many forms that this could take – from arrangements such as joint venture companies, to Development Corporations.
22. We will work with successful proposals to help them work through the detail of the most appropriate delivery arrangements to ensure main partners can take key decisions effectively, and how private sector finance can best be utilised.
23. Whilst we are not prescribing any particular model, for proposals at scale, a Development Corporation may be an appropriate vehicle to consider. We have taken action to enable the creation of new locally accountable New Town Development Corporations. These vehicles can help provide long-term certainty to private investors,

resolve complex co-ordination challenges, invest directly in infrastructure that unlocks development, and use compulsory purchase powers to help lay out a new town.

Cross-government brokerage

24. The garden communities we commit to supporting will be a priority for delivery. We can play a key role across government to help overcome barriers to delivery and broker solutions to unblock issues that arise.

Peer learning and networking opportunities

25. The garden communities currently part of the programme are part of a Garden Villages and Towns Forum that provides useful dissemination of good practice and facilitates peer-to-peer support. We will extend an invitation to join the Forum to any new garden communities selected to be part of the programme.
26. Drawing on experiences and good practice from the garden towns and villages that currently form part of the programme, an on-line Garden Communities Toolkit has been developed to provide a useful resource for those thinking about planning and delivering a garden community.

Bespoke offer – you tell us

27. We ask proposals to consider what additional Government assistance would enable delivery. Where real ambition is demonstrated, Government is always interested in hearing more about proposals for Housing Deals, particularly in areas of high demand.

Application process

Who can apply?

28. Proposals are invited from local authorities and private sector partners (such as master developers or land owners). Proposals submitted by private sector partners must be expressly supported by the local authority.
29. We particularly welcome joint proposals from one or more local authorities, as well as proposals which demonstrate support from developers and / or landowners.
30. For proposals within the Cambridge – Milton Keynes – Oxford corridor, Government will continue to work with local partners to consider how the delivery of new homes and settlements can best support the overarching vision for the axis. This includes the contribution these places can make to the National Infrastructure Commission's finding that up to 1 million homes will need to be built in the corridor by 2050, if the area is to maximise its economic potential.

How to apply

31. Proposals should be submitted via MHCLG's DELTA portal by 9 November 2018. Guidance on the evidence to provide in proposals is set out in the DELTA portal. To gain access to the portal, please contact MHCLG at gardencommunities@communities.gsi.gov.uk Proposals must be able to demonstrate clearly that they meet the eligibility requirements set out in this prospectus. They should also provide an indication of the Government assistance they are seeking.

32. We expect the submission of a proposal to have been preceded by a period of engagement with the Department and Homes England, and encourage initial contact to be made as early as possible.

Selecting Garden Communities for assistance

33. Proposals selected for assistance will satisfy all criteria set out in this prospectus, but this will be a competitive process in which priority will be given to those which best do so. If necessary we may carry out a period of further engagement once proposals have been submitted to collect the evidence necessary for a decision to be made.
34. The announcements of government assistance does not in any way pre-judge the planning process, nor fetter the Secretary of State's discretion in relation to statutory decisions such as the designation of a new town.

Further information

35. For further information or to discuss a proposal ahead of submission please contact MHCLG at gardencommunities@communities.gsi.gov.uk

Report of the Chief Executive

SHARED SERVICES ANNUAL REPORT1. Purpose of report

To inform members of current shared service arrangements and proposals for the future.

2. Detail

Attached at appendix 1 is the Council's Shared Service Policy. In this document the Council's current shared service arrangements are categorised and a scanning exercise has highlighted proposals for future development.

An assessment of current arrangements has been conducted against the requirements of the policy by the shared services internal board and any areas identified for improvement have been highlighted in appendix 2. In other respects the services are policy compliant. An internal audit of shared service arrangements was conducted in 2017 with a conclusion that "Internal audit considered that controls within the system provide substantial assurance that risks material to the achievement of the system's objectives are adequately managed."

3. Financial implications

Appendix 3 contains a high level summary of the financial contribution shared services makes to the Council's budget.

Recommendation

The Committee is asked to:

- 1. RESOLVE that the Shared Services Policy in appendix 1, including the future direction for developing shared service arrangements set out in the table under 6.1, be approved.**
- 2. NOTE the progress on improvement activity and future planned improvement action in appendix 2.**

Background papers

Nil

BROXTOWE BOROUGH COUNCIL'S SHARED SERVICES STRATEGY**1. Definition: What is a 'shared service'?**

Shared service provision can take many different forms. It is closely linked to partnership and collaboration. The categorisation used by Department for Communities and Local Government for shared service arrangements is set out in technical notes to the publication 'Structures for collaboration and shared services'. It is recognised not to be an exhaustive list but it is the best currently available and will be used as a categorisation framework by Broxtowe.

CATEGORY	DESCRIPTION
A	Centralisation and standardisation within a single local authority e.g. shared personnel and HR activities
B	Collaboration between authorities on strategic approaches
C	Collaboration between bodies for: <ul style="list-style-type: none"> o the better delivery of services e.g. sharing of expertise or cost reduction o improved procurement including joint commissioning o collaborative procurement including joint commissioning
D	Franchise approaches: <ul style="list-style-type: none"> o local authorities providing direct support to another o one local authority providing methodologies to others
E	Joint service delivery between authorities
F	Joint service delivery between different types of public body
G	Commercial trading through exploitation of assets, skills or location to provide new income for the benefit of the initiating authority or authorities to offset cost of services
H	Commercial partnership/trading with a private sector partner

2. What current shared service arrangements does Broxtowe Borough Council have in place?

Current shared service arrangements in Broxtowe are listed below:

Category A: Internal centralisation and standardisation

Broxtowe's HR, finance, design and print, communications and ICT services fall within this category as they are all centralised. Increasingly, first line customer contact and administration has been standardised and centralised (the later following a two stage administration review in 2017/18). Although in theory both services have some scope for extension, in practice the need for retention of some administrative capacity within sections across a range of functions has made it difficult to release more resource into the

contact centre or administration business support unit unless wider restructuring occurs. However the New Ways of Working project will explore the potential for further centralisation of administrative resources.

Category B: Collaboration between authorities on strategic approaches

- Nottingham City Council, Nottinghamshire County Council, Derbyshire County Council, Erewash Borough Council, Ashfield District Council, Gedling Borough Council, Rushcliffe Borough Council and Broxtowe Borough Council partly fund the employment of two individuals who report to the Joint Planning Advisory Board (which Broxtowe chairs) to manage the development of Aligned Core Strategies for the Councils, joint commissioning of the evidence base and influencing of strategic transport issues which operate across the wider Greater Nottingham area. (This partnership also has elements of category C, D and E within its arrangements but is essentially a category B arrangement.)
- The HS2 project has led to the creation of a new HS2 Strategic Programme Board, which Broxtowe is represented on, and an HS2 Hub Station Delivery Board, which is now chaired by the County Council, as delivery has reached a new stage of development.
- The Nottinghamshire Economic Prosperity Committee, on which the Leader of the Council represents Broxtowe, is an important formal joint committee which co-ordinates and prioritises plans for economic growth and infrastructure requirements across Nottinghamshire.
- All the partners within the statutory South Nottinghamshire Community Safety Partnership (including Broxtowe) work to produce a common strategic assessment, strategy and action plan for crime and disorder reduction across South Nottinghamshire. (This partnership also has elements of category C, D and E within its arrangements.) A mental health worker is jointly employed between the three authorities.
- The Council works with Gedling and Rushcliffe Councils to produce a Joint Homelessness Strategy covering the three areas. The latest one was agreed in 2017.
- Notts Waste Partnership consists of a collaboration of appointed councillors responsible for waste collection in Nottinghamshire.
- Broxtowe works within the Broxtowe Local Strategic Partnership and its task groups to deliver projects mainly concerning health and wellbeing and children's and vulnerable adults services. Working arrangements were streamlined recently and the partnership meets less frequently as a result.

Category C: Collaboration between bodies for better service delivery, cost reduction or joint procurement

- The Council jointly procures refuse vehicles, vans, wheels and driver training in partnership with all the other Nottinghamshire districts.
- The Council is a partner of East Midlands Lawshare which has jointly procured specialist legal advice through a framework agreement which Broxtowe can draw on when required.
- Election stationery has been procured across a partnership of 8 authorities in Nottinghamshire.
- The use of the Pentanna performance management software system with Notts County Council and other Notts districts enabled economies of scale and procurement of the system at a cheaper price.

- Broxtowe leads a partnership between Gedling, Rushcliffe and Broxtowe to deliver choice based lettings.
- Broxtowe has partnered with Newark and Sherwood and Ashfield District Councils on CCTV monitoring enabled through wireless technology. This has opened the door to jointly commissioning maintenance and procurement of CCTV-related equipment. Newark and Sherwood and Broxtowe are working together through shared CCTV management.

Category D: One LA providing a service for another

- The City Council delivers a clinical waste collection service for Broxtowe's residents.
- Broxtowe sells internal audit services to Erewash Borough Council. This particularly involves selling management capacity.
- Broxtowe provides senior property management and valuation services for Ashfield District Council.
- Erewash provides a managed service for Broxtowe's Revenues and Benefits services.
- Erewash Borough Council provides building control services for Broxtowe.
- Broxtowe provides an ICT training service for Newark and Sherwood District Council and Rushcliffe Borough Council on an occasional basis.
- Ashfield District Council provides Broxtowe with an NNDR service.
- Broxtowe has a contractual relationship with the County Council to deliver a grass verge cutting service in our area and a weed killing contract on behalf of the County Council.

Category E: Joint service delivery between different authorities

- Erewash Borough Council and Broxtowe Borough Council jointly run Bramcote Crematorium and a burials service for the benefit of residents in both boroughs.
- Broxtowe, Newark and Sherwood District Council and Rushcliffe Borough Council work together under a shared Chief Information Officer which includes jointly managed ICT functions, information governance and joint commissioning of hardware and software.
- There is a joint partnership for on street parking with the County Council. This covers enforcement across Nottinghamshire, employment of bailiffs and a central processing unit. Under the partnership Broxtowe manages off-street car parking across Rushcliffe including procurement of consumables.

Category F: Joint service delivery between different types of public body

- The police co-location at Beeston falls into this category, but stops short of full blown integrated joint service delivery.
- Social enterprise collaborations include a furniture recycling partnership through the housing section with Hope Nottingham.
- Broxtowe provides the County Council with services to County Council customers through our customer service centre.
- The Council collaborates with the CAB, which is located within the Council offices in Beeston.
- Broxtowe provides occasional support to Parish councils on legal, ICT, HR, and health and safety issues.

Category G: Commercial trading

- Broxtowe delivers a trade waste recycling service to build on its existing trade waste service. This competes with private sector providers.
- Broxtowe's leisure centres compete against private sector providers through the Teckal Company Liberty Leisure Ltd.
- The recent acquisition of the interest in Beeston Town Centre has developed the Council's commercial property interests from which it derives income.

Category H: Commercial trading with private sector partner

- Broxtowe helps private sector owners to rent property in the interests of people who need somewhere to live.
- Broxtowe has a partnership relationship with Greene King regarding car parking at the Sun Inn car park.

3. Broxtowe Borough Council's approach to shared service arrangements

- 3.1. Broxtowe Borough Council will adopt a default position in favour of joint procurement as far as significant procurement is concerned. This means that whenever procurement of a significant item, goods or services are concerned, officers should first look to achieve economies of scale by working jointly with other public sector providers to achieve the most cost effective result. Whilst it may not always be possible to achieve this because of service delivery issues, timing or unwillingness of others to partner, it should always be investigated and an explanation given as to why this approach cannot be pursued if it is not followed.
- 3.2. Broxtowe Borough Council will actively seek to progress shared service arrangements as part of its approach to achieving cost effectiveness and excellence in service delivery where:
 - there is a clear business case to support the proposed activity
 - there are identifiable financial and/or service delivery benefits underpinning the arrangements
 - the arrangement demonstrably benefits either directly or indirectly, residents of the Borough
 - other potential models of service delivery, such as outsourcing, or continuing in-house provision have also been given due consideration and the shared service method preferred is demonstrated to be superior.
- 3.3. Broxtowe will seek to ensure that the efforts put into pursuing shared service arrangements are proportionate to the outcomes to be expected to be derived. This means that costly, bureaucratic and time consuming officer effort to achieve little quantifiable result will be avoided.

4. Requirements for Broxtowe Borough Council's shared service arrangements

- 4.1. All shared service arrangements in which Broxtowe is involved should meet the following requirements:
- Where required within the Council's constitutional and financial framework, arrangements should be approved by the relevant committee.
 - The arrangement must be in writing.
 - The financial arrangements must be transparently accounted for and subject to audit.
 - There are appropriate leadership arrangements clearly in place.
 - There must be clear governance arrangements setting out responsibilities and accountabilities.
 - There must be clear information governance arrangements in place.
 - The arrangements must be subject to democratic scrutiny on a regular basis.
 - The arrangements should comply with legal and insurance requirements including EU procurement rules.
 - Provision, where appropriate, should be made for termination, business continuity and risk management.
 - Each shared service should identify and mitigate business risks and report any significant risks to the strategic risk management group.
 - The arrangements should be annually reviewed to ensure that the anticipated benefits are still being delivered and the business case for the shared service remains sound.
 - Succession planning/contingency planning should be in place in the event that anything should happen to current leadership arrangements.

5. Governance arrangements

- 5.1. The Chief Executive will chair an internal working group to oversee compliance with this strategy and move the Council's approach to shared services forward. Political accountability will rest with the Policy and Performance Committee Chair, reporting to Committee in accordance with the Committee work programme.
- 5.2. The terms of reference of the internal officer working group will be:
- To keep the shared service strategy up to date.
 - To ensure that the requirements for Broxtowe's shared service arrangements outlined in paragraph 4 above are complied with.
 - To review the business case for new shared service arrangements.
 - To ensure financial savings from shared services are accounted for.
 - To prepare information updates to committees as required.
 - To identify and share good practice between the Council's shared service initiatives.
 - To identify and fulfill training needs.
 - To encourage new shared service arrangements subject to the requirements of this strategy.

5.3. The membership of the shared service internal working group shall be:

Chief Executive (Chair)
 Head of Finance
 Shared CIO
 Legal representative
 Head of Property Services
 Procurement Officer
 Head of Neighbourhoods and Prosperity
 Commercial Manager
 Shared Revenues and Benefits Manager

6. Potential for growth in shared service arrangements and future action

6.1. Using the categorisation framework, a scanning exercise of opportunities for future growth in shared service arrangements is set out below. This will guide efforts to pursue shared services initiatives in the short to medium term.

CATEGORY	DESCRIPTION
A	<p>There is scope to capitalize on the opportunities of hybrid mail.</p> <p>The interim Procurement Officer is systematically investigating opportunities for further procurement savings, which may involve bring together smaller items of expenditure to achieve economies of scale.</p>
B	<p>Officers and councillors within the JPAB and HS2 Delivery Board structures are capitalising on opportunities to bid for funds to implement the Growth Strategy. A successful HIF bid is being worked on. The Borough Council is intending to put in a Garden Communities bid.</p> <p>Opportunities for more joint working on community safety issues are continuously explored.</p> <p>Discussions are being held in Nottinghamshire and Derbyshire regarding the potential for rationalising depot accommodation.</p>
C	<p>The Head of the Waste and Recycling service continually looks for opportunities to collaborate across the County. These discussions progress through the Notts Waste Partnership.</p>
D	<p>The development of neighbourhood plans provides a need to support Parishes in relation to local planning matters. This work is supported by government grant.</p>

CATEGORY	DESCRIPTION
E	There may be synergies with Erewash District Council as far as grounds maintenance services are concerned. We are in dialogue with Erewash about this possibility.
F	The New Ways of Working project will enable a fresh opportunity to look at how we work with DWP, County Council, Police and CAB. This will lead to better service integration and improved quality of service for customers.
G	<p>The authority set up a Teckal Company for leisure (Liberty Leisure Limited).</p> <p>With regard to waste management, trade waste continually needs to be reviewed to ensure it is commercially competitive. There is potential to develop this area of commercial trading (for example provision of street cleaning or grounds maintenance services for private businesses).</p> <p>A new Commercial Strategy was agreed in 2017/18. As part of this, three new employment incubation units were developed. The Eastwood Cemetery Chapel has been let to a private business.</p>
H	The potential to develop a private lettings agency is being explored explored as a project within the Commercial Strategy

APPENDIX 2

National Non Domestic Rates (NNDR)

No.	Policy Requirement	Position	Action since last annual report	Required Improvement identified
1	There are clear governance arrangements between the sharing partners	A Service Level Agreement (SLA) is in place. Quarterly meetings take place at which performance is discussed. Performance for NNDR collection is included in monitoring reports to relevant Broxtowe committee. Write offs outside delegated powers are processed through the relevant Broxtowe committee.	Project Manager produced a report which examined business case for further integration of revs and bens with Erewash BC. This was presented to Policy and Performance Committee. It was decided to achieve savings through opportunistic staffing restructuring instead.	ACTION: employ additional resources to create capacity to ensure the rateable value for every business premise is correct. This has the capacity to increase income through the business rates pool. ACTION: explore becoming a pilot for the 75% business rates retention project in 2019/20. This has the capacity to increase income through retaining funds that would otherwise have to be returned to the government.
2	Agreements are in place for information governance and performance management	Appendix 1 to SLA sets out specific functions to be provided. Appendix 1 section 8 includes some limited monitoring and control requirements.	Checked information sharing arrangements are GDPR compliant.	ACTION: produce annual report on the joint service to committee for scrutiny.

Car Parking Management

No.	Policy Requirement	Position	Actioned since last annual report	Further improvement required
1	The arrangement is set out in writing between the parties and includes provision for exit, termination, and business continuity	<p>Various agreements in place. Cover exit and termination.</p> <p>Our data is processed via the Central Processing Unit (CPU) service – via a county server. We can access it from everywhere.</p>	Additional resources employed (an apprentice) to ensure compliance with the regulatory regime	None required
2	The financial gains are quantifiable and auditable	<p>Broxtowe receives £40,000 income from County and £20,000 from Rushcliffe annually. A significant proportion of staff costs are paid for by partners. Further economies of scale has resulted in more cost savings– e.g. on purchase of tickets – Broxtowe now has sponsorship - now only costs £300 instead of £3,000 a year. We also share maintenance of machines, producing a further benefit.</p> <p>Central processing unit covers numerous authorities so the unit rate for processing is significantly lower now than it has been.</p>		None required

No.	Policy Requirement	Position	Actioned since last annual report	Further improvement required
3	There are clear governance arrangements between the sharing partners	Off street: There is a managerial board which meets three or four times a year. Contains reps from each constituent authority and contractor. Health and safety and performance is discussed. Arrangement with Rushcliffe: lead officer meets once every couple of months with Rushcliffe officer. A more formal meeting occurs two or three times a year - which is finance led. Reports are produced and we feed Rushcliffe with data.	January 2018 annual report COMPLETED	ACTION: produce Annual report Jan 2019.
4	Agreements are in place for information governance and performance management	Our own information governance arrangements cover data and action within our own control. Areas outside our direct control include CPU and employees contracted via NSL. Arrangement with employees contracted via NSL is complex.		ACTION: Check GDPR compliance of the updated arrangements.
5	There is provision for "scrutiny/challenge"	Managerial challenge/scrutiny is in place. Member scrutiny/challenge would be enhanced via the annual report suggested	Annual report to Community safety Committee Jan 2018 COMPLETED	ACTION: produce Annual report Jan 2019

No.	Policy Requirement	Position	Actioned since last annual report	Further improvement required
6	The arrangement is compliant with legal, insurance and procurement requirements	As far as Broxtowe's own service is concerned we are covered, as are the arrangements as far as Rushcliffe is concerned	Check cover with insurance section COMPLETED-COVERED	None required

Building Control

No.	Policy Requirement	Position	Action since last Annual report	Further Improvement
1	There are clear governance arrangements between the sharing partners	The function is entirely managed through Erewash BC. There is formal regular oversight by the Head of Neighbourhoods and Prosperity in relation to the effectiveness of arrangements.	Annual report was presented Nov 17 to Jobs and Economy Committee	ACTION: Next annual report to go to Nov 18 Jobs and Economy Committee. ACTION: invite Erewash Building control to attend Grenfell action meeting .
2	Agreements are in place for information governance and performance management	There are KPIs and/or MPIs in our Business Growth Business plan relating to building control	Better integration of software between the two authorities is being explored.	ACTION: check data sharing arrangements are compliant with GDPR
3	There is provision for "scrutiny/challenge"	Officer accountability will be managed through the regular discussions between SS and SB at Erewash Member performance scrutiny will take place through our normal business plan reporting	Annual report Nov 17 to Jobs and Economy provided opportunity for scrutiny and challenge	ACTION: annual report to be presented to Jobs and Economy Nov 18.

No.	Policy Requirement	Position	Action since last Annual report	Further Improvement
		arrangements		

CCTV

No.	Policy Requirement	Position	Action since last Annual report	Further improvement
1	The arrangement was approved by Cabinet	Yes - October 2012	Annual report to new Community Safety Committee keeping members updated on location of cameras, performance and financial information presented January 2018. New apprentice employed to increase compliance with regulatory regime.	ACTION: annual report to Community Safety Committee January 2019. ACTION: new updated CCTV policy to be brought before Community Safety Committee.
2	The arrangement is set out in writing between the parties and includes provision for exit, termination, and business continuity	Yes. However an updated version has been prepared and awaits signature.	New agreement awaiting signature by NSDC and ADC as well as ourselves.	ACTION: chase signing of agreement. ACTION: consider succession planning/contingency arrangements for leadership
3	There are clear governance arrangements between the sharing partners	Steering group comprises reps of all authorities involved. Monthly meeting. Discusses performance, faults and contracts, hours of cover, trained staff in place.		ACTION: chase signing of agreement. ACTION: ensure management performance indicators contained in new agreement are included in Community Safety Business Plan.

No.	Policy Requirement	Position	Action since last Annual report	Further improvement
4	Agreements are in place for information governance and performance management	Set out in the CCTV policy. Indemnity provision is within the policy.		ACTION: check data sharing arrangements are compliant with GDPR.
5	There is provision for "scrutiny/challenge"	See management arrangements set out above.	Report was produced for Community safety Committee Jan 2018	ACTION: Annual report January 2019.
6	The arrangement is compliant with legal, insurance and procurement requirements	Broxtowe leads on procurement issues. Insurance cover is up to date.		No further improvement required.

APPENDIX 3

Financial Benefits of Shared services

In each case listed below, Cabinet considered the business case before approving each arrangement. This case included consideration of any associated redundancy costs and pension strain incurred and, in all cases, there was a strong financial case for proceeding with each proposal.

The table below provides a snapshot of the annual benefit the Council receives from continuing with the current arrangements. On-costs are not included in the cost avoided column. Also not included in the chart is the annual revenue received through the Bramcote Bereavement Services Joint Committee.

Service	Income received annually towards staffing costs	Cost avoided () or additional cost generated annually	Typical annual additional and future planned annual financial benefits
Property management	£40,000		The income from Ashfield was increased by £5,000 in 2017/18 compared with the previous year. It is updated annually by an annual inflation linked amount.
Car Parking Management	£40,000 (NCC) £20,000 (RBC)	£20,000 Additional Car Parking Assistant	£2,700 ticket printing
Building Control		£113,400 (baseline fig as at 2016/17 recurring) - since 2016/17 All staff employed by Erewash BC, who also keep fee income	
ICT		(£29,285) Three authorities contribute to cost of CIO post. This saving represents the difference of what we currently pay with the cost of previously employing the officer.	

Service	Income received annually towards staffing costs	Cost avoided () or additional cost generated annually	Typical annual additional and future planned annual financial benefits
Revenues and Benefits		<p>(£104,273)</p> <p>This figure is the difference between the cost of previously employing four posts, which were all deleted, and what we currently contribute in an annual fee for the service. The figure has increased by £9,800 p.a. due to the voluntary redundancy of an individual within the team in 2017/18 who will not be replaced.</p>	<p>Initial plans show it may be possible to achieve savings of over £100,000 a year should the integration proposals be fully implemented. These would be phased in over five years.</p>
CCTV		<p>£45,100. This was the annual saving identified in the 2012 report from sharing a manager's post, reduction in maintenance and other costs associated with consolidation of CCTV equipment on a single site.</p> <p>Following the move of the CCTV control room from N7SDC to Sherwood Lodge in 2017/18 there are now annual savings of £7,000 in monitoring costs and £6,000 in licence costs. In addition it has been identified that £32,000 of CCTV costs should be recharged to Parks, Housing and the out of hours service.</p>	<p>Some of the savings have been re-invested in employing an apprentice to support the service to ensure the service has a fit for purpose policy and appropriate monitoring arrangements.</p>
NNDR		<p>(£2,000) This is the difference between the cost of employing one officer back in 2006 (£25,000) when the arrangement started and</p>	

Service	Income received annually towards staffing costs	Cost avoided () or additional cost generated annually	Typical annual additional and future planned annual financial benefits
		the fee paid by Broxtowe to Ashfield for the service (£21,107).	
Totals	£100,000	£314,058	£209,281
Grand Total	£623,339		

Joint report of the Chief Executive and the Deputy Chief Executive

REVIEW OF CORPORATE PLAN PROGRESS AND FINANCIAL PERFORMANCE1. Purpose of report

To report progress against outcome targets linked to Corporate Plan priorities and objectives and to provide an update as to the latest financial performance as measured against the budget.

2. Background

The Corporate Plan 2016-2020 was approved by Cabinet on 9 February 2016. Business Plans linked to the five corporate priority areas of Housing, Business Growth, Environment, Health and Community Safety are subsequently approved by Committees each year.

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, including a detailed annual report where performance management and financial outturns are considered together following the year-end.

This quarterly report is intended to provide this Committee with 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 corporate priorities and objectives can be measured. This summary is detailed in appendix 1.

4. Financial performance

A summary of the financial position as at 31 July 2018 with regard to the employee budgets, major income headings and progress against achieving the savings target set as part of the budget is included in appendix 2. A summary of the capital expenditure position to 31 July 2018 is also included.

Recommendation

The Committee is asked to CONSIDER the progress made in achieving the Corporate Plan priorities and with regard to the financial position for 2018/19.

Background papers

Nil

APPENDIX 1

PERFORMANCE MANAGEMENT

1. Background – Corporate Plan

The Corporate Plan 2016-2020 was approved by Cabinet on 9 February 2016. It 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

A series of Business Plans linked to the five corporate priority areas were approved by the Committees at meetings held in January and February 2018.

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 will be 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 will include a detailed annual report where performance management and financial outturns are considered together following the year-end as part of the Council's commitment to closely align financial and performance management.

3. Performance Management

As part of the Council's performance management framework, the Policy and Performance 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. Similarly, the Business Plans for the support service areas (Bereavement Services, ICT and Business Transformation, Resources and Revenues, Benefits and Customer Services) are not being considered here at this stage.

Each of the five priorities is considered separately below:

1. HOUSING

The Council's priority for Housing is "**A good quality affordable home for all residents of Broxtowe**". Its objectives are to:

- *Increase the rate of house building on brownfield sites (Ho1)*

The Housing Committee agreed to commission a new house building delivery plan which will assist the Council to identify the most effective contribution it can make to increase the rate of affordable house-building in Broxtowe. The study will look at current and projected housing need for social, rented and affordable housing; identify the intentions of Housing Associations and developers in the local area in terms of catering for this need; identify the housing needs of specific groups such as people with disabilities and consider the land and financing options open to the Council in meeting this need.

- *Become an excellent housing provider (Ho2)*

Consultation was undertaken with Retirement Living Tenants during April and May 2018. The findings of the consultation, representing 47% of retirement living households, were reported to Housing Committee on 6 June 2018. The Policy and Performance Committee approved the changes for the new Independent Living Scheme.

An implementation plan is being drawn up to ensure that disruption to Retirement Living tenants is minimal. A newsletter was distributed to tenants to outline the changes and a series of 'meet the manager' sessions were held.

A trial of the Tenant Rewards Scheme commenced in June 2018. The scheme has been designed to recognise certain behaviour and tenancy agreement compliance, as well as potentially changing behaviour of others through incentives. Tenant rewards will be advertised through Tenant and Leaseholder Matters, the Housing newsletter; the Council's website; social media and Email Me. Posters and leaflets will also be produced to place in key locations around the Borough. A quarterly prize draw will take place, with a prize of £250 available per draw. Where a tenant has an agreed payment plan in place the prize will be paid towards any outstanding debt owed to the Council.

A programme of Estate Inspections was introduced across the Borough in April 2018 by the Tenancy and Estates Management Team. Over the year the team will carry out inspections in areas where Council housing is located. Tenants and leaseholders are invited to take part in the inspections and walk around their area to highlight areas of concern. The inspections will ensure general areas of the Borough are kept tidy, fly tipping is removed and repairs are reported.





Dates for the Estate Inspections will be advertised through Tenant and Leaseholder Matters; the Council's website and Email Me.





- Improve the quality and availability of the private sector housing stock to meet local housing need (Ho3)

The Council intends to sell Cavendish Lodge for private residential accommodation. The current tenant is due to move out shortly.

The Council and partners continue to provide housing to support resettled Syrian refugees. The Council is working with a private landlord to provide further offers of property in the future to enable the Council to meet its pledge of supporting the Syrian Vulnerable Persons Resettlement Scheme’.

Critical Success Indicators for Housing

Indicator Description	Code	Achieved 2017/18	Target 2018/19	Q1 2018/19	Short Term Trend	Long Term Trend	Comments (incl. benchmarking)
Supply of ready to develop housing sites	NI159	72%	100%	-			With the Part 2 Local Plan now submitted there is a realistic prospect of this plan being adopted in late Spring 2019 which will fully address the five year housing land supply shortage. There are a number of sites allocated which are expected to come forward for development within two years of the adoption of the Local Plan. There is regular dialogue with developers, house builders, economic development colleagues and external funding providers, to unlock the more difficult to develop sites and these efforts are already showing signs of success with the highest house building figures for 10 years achieved in 2017/18.
Net additional homes provided	NI154	297	360	-			The 2017/18 target was not achieved however the number of homes provided has increased year on year for four years. With the adoption of the Part 2 Local Plan, the long term issues of land supply will be addressed and significant upturns in housing completions are anticipated as a result over the coming years.

Indicator Description	Code	Achieved 2017/18	Target 2018/19	Q1 2018/19	Short Term Trend	Long Term Trend	Comments (incl. benchmarking)
Private sector vacant dwellings that are returned into occupation or demolished	HSLocal_11	54	25	26			The properties returned into occupation this quarter is higher than this period in previous years.
Overall satisfaction	HSTOP_01	93%	87%	100%			60 surveys were completed in Quarter 1. A review of surveys used is being undertaken to improve the number of responses.

2. **BUSINESS GROWTH**

The Council's priority for Business Growth is **'New and growing businesses providing more jobs for people in Broxtowe and improved town centres'**. Its objectives are to:

- *Increase the number of new businesses starting in Broxtowe (BG1)*

Explore Learning have taken a contract for the ground floor of the old Yorkshire Bank building. Discussions with prospective Tenants for Beeston Town centre are ongoing.

The Finance and Resources Committee have agreed to fund the development of a new Business incubator space in Beeston Town Centre. This requirement was identified in the Commercial Strategy and the space is provided following the reorganisation of internal space above shops in the town centre.

A report on the Council's Apprenticeship Strategy is being presented to this Committee.

- *Help our town centres to compete and attract new visitors (BG2)*

The former Eastwood cash office has been sold. Proposals to put the premises into use to improve the appearance and viability of Eastwood Town centre are being developed.

In May 2018 the Council signed up to the "Take a Seat" initiative. The scheme is about raising awareness of how older people sometimes struggle to access their local area because there are few seats available for them to rest. In order to encourage older people to venture out to their local shops, Age Friendly Nottinghamshire is helping local businesses become more mindful of the challenges older people and those with disabilities face when out and about.

Older people will be able to find a shop or premises that are taking part because they see a ‘We are Age Friendly’ sticker displayed in the window. The initiative will be rolled out across the county over the next 24 months.

Two new businesses have moved into Beeston Square following refurbishment of two vacant units. ‘Explore Learning’ provides tuition for children aged 4 to 14 years to improve literacy and numeracy skills. ‘WillSuite’, a legal software company specialising in wills and legal documents for solicitors are keen to encourage local enterprise. They are opening co-working space for freelancers, and small companies working in the digital sector through www.BeestonCoworking.co.uk.

‘Beeston on Sands’ returned in the Summer 2018 giving local residents and shoppers chance to relax and enjoy the sea side. This free event offered entertainment and refreshments to victors.

- Complete the regeneration of Beeston Town centre and seek opportunities to regenerate town centres throughout Broxtowe (BG03)

A public consultation on our ambitious plans for phase two of the Beeston Square development which proposes 120 new homes, a cinema and greater choice of food and drink venues was held. The Council spoke to more than 600 residents, and listened to what local people wanted to see in the area. This shaped the outline plans to create a mixed-use scheme that will bring modern new homes, a cinema, restaurants and cafes to the town centre. The two-acre site earmarked for development is currently being used as a car park and sits alongside the recently improved tram line. The development aims to revitalise Beeston’s night-time economy driving increased footfall to the town from the local and surrounding communities.

Planning permission is being sought for the redevelopment scheme. The estimated cost of the redevelopment is £10.865 million over the next three years. A design review panel has been held and discussions continue with prospective partners for the cinema and food and beverage operators. The Council has now secured sufficient funding to proceed with pre-development costs. A portion of the site is intended to be sold off for residential development to help fund the cost of the package.

Street Art installations have been introduced to brighten up and add interest to Beeston Town Centre.

Critical Success Indicators for Business Growth

Indicator Description	Code	Achieved 2017/18	Target 2018/19	July 2018/19	Short Term Trend Arrow	Long Term Trend Arrow	Comments (incl. benchmarking)
Employment Land take up	ERLocal_02	4,257 sqm	-	-	▬		2016/17 = 11,391 Data is collected annually.

Indicator Description	Code	Achieved 2017/18	Target 2018/19	July 2018/19	Short Term Trend Arrow	Long Term Trend Arrow	Comments (incl. benchmarking)
Planning applications approved for employment development (Class B1, B2 or B8)	ERLocal_03		-	-	▬		20 applications approved in 2016/17
Town Centre occupancy rates:							Targets based on average for the year.
• Beeston	TCLocal_01a	94%	92%	94%	▬	↑	No change from 94% in Q4 2017/18.
• Kimberley	TCLocal_01b	95%	92%	89%	↓	▬	Decreased from 95% in Q4 2017/18.
• Eastwood	TCLocal_01c	91%	92%	91%	▬	↓	No change from 91% in Q4 2017/18.
• Stapleford	TCLocal_01d	83%	92%	86%	↑	↑	Increased from 83% in Q4 2017/18.
No. of planning applications approved for new retail and commercial floorspace within the town centres	TCLocal_05	-	-	-			9 applications in 2016/17 Data collected Annually
Commence works for phase 2 the redevelopment of Beeston Town Centre	BG1620_09	-	-	-	-	-	Consultation on Phase 2 was undertaken in April 2018

3. ENVIRONMENT

The Council's priority for Environment is '**The environment in Broxtowe will be protected and enhanced for future generations**'. Its objectives are to:

- Reduce litter and fly tipping to make Broxtowe cleaner (En1)

The number of fly tipping incidents in quarter one of 2018/19 has decreased by 31 incidents compared to the same period of 2017/18. This is in part can be attributable to the proactive approach in designing out know hot spot areas.

The Community Safety Committee approved plans to introduce fines for people who throw rubbish from their vehicles in the Borough.

- *Maintain and improve the green infrastructure of the Broxtowe (En2)*

In April 2018 new play facilities were launched at Broadgate Park. The £100,000 project was funded with contributions from the Council's Capital Programme, Waste Recycling Environmental (WREN), the Council's Housing modernisation partner United Living and the Council's boiler installer, Vinshire. The new area contains a wide mix of equipment for children of all ages. This scheme was the first to be completed as part of the Council's new 2 year £500,000 programme of works to improve Parks and Open spaces in the Borough as part of the Pride in Parks Initiative. The second play area improved as part of the scheme, with £47,500 worth of play area improvements, was at Redbridge Drive, Nuthall.

The first Parish/Town Council improvement funded through the Pride in Parks initiative was at Basil Russell Playing Fields where new handrails to the pavilion were installed by Nuthall Parish Council

At the Toton Fields local nature reserve a number of habitat and access improvements have been completed, using £25,000 of external funding from Tesco "bags of help" and Growth Point funds. The funds were secured in partnership with Nottingham Wildlife Trust and the Friends of Toton Fields. The works include resurfacing and restoration of over 1 kilometre of paths, excavating new shallow wildlife ponds or "scrapes", woodland management and wildflower meadow creation.

A group of volunteers spent the winter making bird boxes from recycled timber to suit a variety of birds. 27 boxes were erected to introduce additional nesting opportunities that should help sustain and hopefully increase populations. In spring 2017 a bird survey of the woodlands was carried out and recorded sightings of Tawny Owl, Blue Tit, Great Tit, Coal Tit, Nuthatch and Tree Creeper. With over 100 hours volunteer time already invested in the project, the group will now monitor the boxes through spring and record the birds that nest in them and their breeding success. This information will be provided to the British Trust for Ornithology (BTO) as part of their nest record scheme, providing valuable data to help monitor the health of our bird life nationally.

Green Flag Awards, announced in July 2018, have been retained for the tenth consecutive year at Colliers Wood and Alexandria Plantation and Sandy Lane Local Nature Reserves. The Friends Groups at these sites have worked with the Council for many years and their involvement is recognised in the award of a Green Flag. The Green Flag award acknowledges the high standard of these open spaces, and the facilities they offer. Bramcote Hills Park retained the flag for the twelfth consecutive year and Community Green Flags were also awarded to Brinsley Headstocks and Bramcote Old Church Tower.













- *Increase recycling, composting, renewable and energy efficiency projects as resources allow and reduce residual waste (En3)*

The Leisure and Environment Committee approved the Single Use Plastic Action Plan on 13 June 2018. This plan is designed to support local, national and global efforts to reduce the use of single use plastics. The Council aims to highlight the issue of single use plastics to residents and businesses and encourages the use of alternatives. Part of this process will involve an audit of the Council to ascertain what single use plastics products are currently used. Following the audit alternative options will be considered.

The kerbside garden waste collection has continued to be a huge success with the number of subscribers and tonnage collected exceeding expectations. Over 19,000 residents have subscribed and over 2,500 tonnes of garden waste have been collected in the first quarter of 2018/19.

The increase in tonnage has significantly affected the recycling rate for quarter one with an overall recycling rate of 43.69% being achieved. This is 1.22% higher than quarter 1 for the year 2017/18.

Critical Success Indicators for Environment

Indicator Description	Code	Achieved 2017/18	Target 2018/19	Q1 2018/19	Short Term Trend Arrow	Long Term Trend Arrow	Comments (incl. benchmarking)
Cleanliness of the streets and open spaces within the Borough (levels of litter)	NI195a	95%	96%	-			The surveys are undertaken three times a year so the results of the first survey will be reported in the quarter 2. To make the indicator easier to understand the percentages now show the percentage of streets which achieve the required cleanliness standard. Previously the percentage not achieving the standard was reported.
Improved Street and Environmental Cleanliness - Fly Capture Score (No. Fly Tips vs Enforcement Action)	NI 196	2	2	2			Aim is to reduce fly tipping through improved education and enforcement
Number of fly tipping incidents removed	SSData_01	344	414	77			In quarter 1 77 fly tips were removed. This is a reduction quarter 1 in 2017/18.
Household waste recycled and composted	NI192	38.82%	41% (43.85%)	43.79%			This increase is mainly due to an increase in the amount of garden waste and glass collected.
No. of Nature Reserves	PSData_07	15	15	15			
Parks achieving Broxtowe Parks Standard %	PSData_09	94%	98%	-			Surveys are currently being undertaken - Reports will be available in Q2 2018/19.
Energy Consumption across all operational sites – Total kWh gas and electric ('000)	CPLocal_03	-	8,280	-	-	-	

4. HEALTH

The Council's priority and objective for Health is '**People in Broxtowe enjoy longer, active and healthy lives**'. Its objectives are to:

- *Increase the number of people who have active lifestyles (He1)*

A range of events have been held at Leisure Centres.

On 4 May 2018 Bramcote Leisure Centre hosted the 'Go Tri' Family Aquathlon. 'Go Tri' runs alongside the events programme and provide families an opportunity to try triathlon event on a smaller scale. The emphasis is on 'giving it a go'.

Kimberley Leisure Centre hosted a Triathlon on 10 June 2018, with three races for beginners, family and sprint triathlon.

In July 2018 the Bramcote 5k and 2k Family Fun Runs were held at Bramcote Park Hill. This was suitable for both adults and juniors to run, plod or jog around the park.

- *Work with partners to improve the health of the local population (He2)*

The Get Active team are currently working with Active Notts to access and interrogate insight data. The eventual aim is to identify areas within the Borough with particular low levels of physical activity and use the insight data to increase participation based on known motivations for the demographics identified.

A new dementia action plan was agreed by Community Safety Committee on 22 March 2018. This sets out what Broxtowe will do in 2018-19 to implement our vision to make Broxtowe a place where people live well with Dementia. It is estimated that approximately 1,600 people have been diagnosed with dementia in Broxtowe. However as only 43% of people with dementia have been diagnosed, the real figure is more likely to be over 3,000.

As part of Dementia Awareness Week from 21 May 2018, Dementia Friend training sessions were offered to staff, and to, our partners in the Police and Citizens Advice Broxtowe. 21 people took part, and a further 9 people were trained at a subsequent event.

The Council is working to provide two new dementia friendly bungalows in Beeston through seeking using Disabled Facilities Grant funding. A report will be presented to this Finance and Resources Committee regarding this initiative on 11 October 2018.

A weekly Stop Smoking Clinic held at Beeston Council Offices for Broxtowe residents and staff was launched in May 2018. Of those attending the clinics during May and June 2018 12 people (63%) claim they have been able to stop smoking.

A new fortnightly Broxtowe Maternity Clinic was delivered by Everyone Health, started on 26 April 2018. The aim was to support women with higher than optimum weight at the start of pregnancy to make healthier eating and activity choices for themselves and their babies offering personalised advice on healthy eating and how to be physically active, throughout, and post pregnancy. This Clinic continues to run and 13 women have taken part since April 2018.

The Council has taken the lead in developing Risk Assessments designed to improve safety around areas of open water. This work compliments the work of the Open Water Education Network (OWEN) Trust. The trust was set in memory of Owen Jenkins in 2017.

- Reduce alcohol related harm in Broxtowe (He3)

Two Brief Intervention Training sessions on Alcohol and on Neuro-Psychoactive Substances were held in May 2018 for the Broxtowe Partnership.

Partnership working to tackle these issues is ongoing. Broxtowe residents are benefitting from the Change Grow Live programme, with over 210 people becoming alcohol free as a result of their interventions since April 2017.

Critical Success Indicators for Health

Indicator Description	Pentana Code	Achieved 2017/18	Target 2018/19	Q1 2018/19	Comments (incl. benchmarking)
Total Attendances for Leisure and Culture	LLDAT A_E03 _H01 _B01 _K01 _C01 _S01	1,709k	1,700k	435K	Exceeding target and an increase of 13,952 on quarter 1 2017/18. In July 2018 = 574,775 an increase of 13,108.
Percentage of Inactive Adults in Broxtowe	LLLocal _G09	-	25.5	-	Data collected annually in October. 2016/17 = 26.1

5. COMMUNITY SAFETY

The Council's priority for Community Safety is that '**Broxtowe will be a place where people feel safe and secure in their communities**'. Its objectives are:

- Reduce the amount of anti-social behaviour in Broxtowe (CS1)





Each year during early summer the Communities Team deliver Garden Crime advisory leaflets and posters to garden centres and DIY retailers throughout the borough. A related press release is issued in conjunction with this distribution to encourage local residents to take some simple steps to ensure they protect themselves from garden crime. The current garden crime advisory leaflet can be found on the Broxtowe Borough Council website.





On 7 June the Community Safety Committee approved a Public Spaces Protection Order for Basil Russell Playing Fields. This order will assist in controlling dogs on the Park. Nuthall Parish Council have been granted delegated powers to administer and enforce the order, including serving Fixed Penalty Notices.

- Reduce domestic violence in Broxtowe (CS2)

A training programme supported by Broxtowe Partnership is being provided for professionals, volunteers and frontline workers. The training on six topics, including domestic abuse awareness, child sexual exploitation and online protection, antibullying, youth justice is provided as two hour briefing sessions.

Critical Success Indicators for Community Safety

Indicator Description	Code	Achieved 2017/18	Target 2018/19	Q1 2018/19	Short Term Trend Arrow	Long Term Trend Arrow	Comments (incl. benchmarking)
Reduction in reported ASB cases in Broxtowe (Notts Police Strategic Analytical Unit)	ComS_011	2,875	2,126	523			
Reduction in ASB cases reported in the borough to Environmental Health, Communities and Housing	ComS_012 ComS_014 ComS_013	564 100 157	541 53 78	145 17 53	These are data only performance indicators		Decreased from 184 in quarter 1 2017/18 Increased from 9 in quarter 1 2017/18 Decreased from 54 in quarter 1 2017/18
Repeat high risk domestic abuse cases referred to the Multi-Agency Risk Assessment Conference [% of the total re-referrals]	ComS_024	22%	13%	21%			In Quarter 1 2018/19 19 cases to MARAC of which 4 were repeat cases
Domestic Abuse in the Borough	ComS_025	516	550	-	-	-	Target reduced from 1,488 to reflect that only domestic crimes are recorded as opposed to domestic crimes and incidents. Data recorded six monthly.

Indicator Description	Code	Achieved 2017/18	Target 2018/19	Q1 2018/19	Short Term Trend Arrow	Long Term Trend Arrow	Comments (incl. benchmarking)
Alcohol related referrals to Change-Grow-Live with positive outcomes from Broxtowe	ComS_085 Referrals	93	-	24			
	ComS_085a Positive Outcomes	61 (65%)	- 70%	32 (75%)			Target set at 70% for 2018/19 – based on 2017/18 data
Reduce Hospital stays for alcohol related harm (per 100,000 population)	ComS_086	-	<666	-			East Midlands in 2015/16 = 686 Broxtowe in 2015/16 = 666 2016/17 data = due September 2018

APPENDIX 2

FINANCIAL PERFORMANCE

Employee Position

The summary position as at 31 July 2018 as regards to the employee budgets is as shown below:

Directorate	Budget to 31/07/2018 £	Actual to 31/07/2018 £	Variance £
Chief Executive's	664,800	641,564	(23,236)
Deputy Chief Executive's	1,917,950	1,940,027	22,077
Director of Legal and Planning Services	660,767	602,496	(58,271)
Housing – General Fund	322,500	330,417	7,917
Housing - HRA	1,306,150	1,155,609	(150,541)
Total	4,872,167	4,670,113	(202,054)

Any overtime worked in respect of July (paid in August) is not included.

The budget figures above exclude the 3% vacancy rate target set for the General Fund when the 2018/19 budget was approved totalling £300,000 for 2018/19. The table above shows that the Council is currently not meeting the vacancy rate target.

The underspending to 31 July 2018 for the HRA will be offset by additional payments to sub-contractors to ensure that the delivery of services to tenants is maintained.

The employee budgets will continue to be closely monitored during 2018/19.

Non-employee Expenditure Budget Variations

The most significant variations on non-employee budgets to 31 July 2018 are:

Budget Heading	Approved Budget 2018/19 £	Actual Spend 31/07/18 £	Projected Outturn 2018/19 £	Projected Variance 2018/19 £	Comments
General Fund					
Miscellaneous - Third Party Payments	0	0	101,733	101,733	Projected cost of the Interim Strategic Director seconded from Rushcliffe. No invoice in respect of costs since April 2018.

Budget Heading	Approved Budget 2018/19 £	Actual Spend 31/07/18 £	Projected Outturn 2018/19 £	Projected Variance 2018/19 £	Comments
Specialist legal advice	0	15,908	15,908	15,908	Specialist legal advice
Car Parks – NNDR	32,800	39,260	55,500	22,700	Overspend is due to the receipt of invoices for previous years relating to recently added car parks.
Planning- Planning Appeal Costs	0	8,481	8,481	8,481	The Council has to meet the cost of a successful planning appeal.
Grounds Maintenance - Subcontractors	282,950	123,185	296,940	13,990	Seasonal pressures and additional ad-hoc orders for both internal and external works are resulting in a projected overspend.
Housing Revenue Account					
Housing Repairs – Subcontractors	440,000	295,361	886,083	446,083	This overspend is partly offset by an underspend on employee costs.
Housing Repairs-Materials	421,600	91,989	273,868	(147,732)	Additional expenditure on subcontractors is resulting in reduced materials costs.

Income Budgets

The position to 31 July 2018 in respect of the most significant variable income budgets is as follows:

Income	Annual Budget 2018/19 £	Income to 31/07/2018 £	Latest Projection 2018/19 £	Projected Variance to Budget £
Planning Fees	(520,000)	(243,910)	(520,000)	0
Pre-Planning & History Fees	(25,000)	(9,506)	(28,500)	(3,500)
Industrial Units Rent	(168,450)	(130,296)	(175,000)	(6,550)
Craft Centre Complex Rents	(32,500)	(19,750)	(35,200)	(2,700)
Garden Waste Income	(645,000)	(652,542)	(672,500)	(27,500)
Sale of Glass	(25,000)	(10,230)	(40,900)	(15,900)

Sale of Wheeled Bins	(29,750)	(7,600)	(22,800)	6,950
Recycling Credits - Glass	(90,000)	(1,820)	(90,000)	0
Trade Refuse Income	(555,000)	(412,802)	(662,300)	(107,300)
Special Collections Income	(60,000)	(21,836)	(65,500)	(5,500)
Recycling Credits - Bring	(20,000)	514	(12,000)	8,000
Parking P&D Income	(176,450)	(66,652)	(172,000)	4,450
Off Street PCN Income	(95,500)	20,148	(90,000)	5,500
Cemeteries – Fees and Charges	(191,200)	(48,666)	(191,200)	0
Miscellaneous Legal Charges	(30,000)	(7,352)	(22,000)	8,000
Land charges Income	(102,100)	(28,354)	(85,100)	17,000
Licence Income	(142,300)	(47,112)	(142,300)	0
Interest on Investments	(204,400)	(65,119)	(204,400)	0
Beeston Square Rent	(700,000)	(321,886)	(729,800)	(29,800)
General Properties Rent	(38,000)	(15,696)	(38,000)	0
Total	(3,850,650)	(2,090,467)	(3,999,500)	(148,850)

Notes

- i) Income from planning fees significantly exceeds the budget to 31 July 2018 due to the receipt of fees in respect of a number of major applications. It is assumed at this stage that the outturn will be in line with the budget.
- ii) Income from garden waste, the sale of glass and special collections in 2018/19 is expected to exceed the budget but this will be partly offset by a shortfall in income from the sale of wheeled bins.
- iii) Income from the collection of trade waste in 2018/19 is on target to significantly exceed the budget due to an increase in demand for the service.
- iv) The 2018/19 budget for income from bring sites of £20,000 was based upon the actual income level of £17,200 achieved in 2017/18. However, a shortfall in 2018/19 is presently expected.
- v) Income from parking fees and penalty charge notices in 2018/19 is presently expected to be slightly less than the budget.
- vi) Whilst income expected from miscellaneous legal fees in 2018/19 is not expected to achieve the budget, it should exceed the level of £12,600 received in 2017/18.
- vii) Income from land charges in 2018/19 is expected to be less than the budget due to a continued reduction in the demand for the service. This reflects the trend in recent years.

- viii) Income from the rent of properties in Beeston Square is presently expected to exceed the budget as a result of a reduction in the number of empty units and the decision to change the use of three residential units to offices.

Capital Programme

Capital programme expenditure as at 31 July 2018 is summarised as follows:

	Approved Budget 2018/19 £	Actual Spend to 31/07/2018 £	Proportion of Budget Spent %
General Fund	6,031,200	744,710	12.3
Housing Revenue Account	7,011,050	1,413,196	20.2
TOTAL	13,042,250	2,157,906	16.5

The table includes all capital schemes brought forward from 2017/18, as previously approved, in addition to any other budget changes made up to 31 July 2018. No account has been taken of any invoices received but not yet paid or work that has taken place but where no invoices have, as yet, been received.

The General Fund capital programme includes schemes totalling £978,650 for which the approval to proceed will be granted once a source of funding has been identified. If these schemes were to be excluded from the table above then the proportion of the General Fund capital programme spent to 31 July 2018 would be 14.7% and the total proportion of budget spent would increase to 17.4%.

The most significant schemes with regards to spending to 31 July 2018 are:

Scheme	Approved Budget 2018/19 £	Actual Spend to 31/07/18 £	Comments
General Fund			
Replacement Vehicles and Plant	223,000	200,743	Orders have been raised for the items in the 2018/19 programme.
Beeston Square Phase2 (Net Compensation)	111,300	238,086	Additional expenditure shown will be met from the £2.865m in the 2018/19 capital programme for the Beeston Square Redevelopment.
Housing Revenue Account			
Central Heating Replacement	1,267,200	337,907	Work progressing as planned.
Modernisation Programme	1,984,700	467,013	Work progressing as planned.

Report of the Chief Executive

EXERCISE OF THE CHIEF EXECUTIVE'S URGENCY POWERS1. Purpose of report

To ask the Committee to note the exercise of the Chief Executive's urgency powers.

2. Detail

A further two matters required the exercise of the Chief Executive's urgency powers over the summer. The first related to the need to undertake urgent concrete repairs at Bramcote Leisure Centre at a cost of £10,000. Whilst not considered dangerous (as confirmed by a subsequent specialist inspection), the level of deterioration was such that it should be addressed without unnecessary delay. As the specialist repair contractor required several weeks' lead-in period, then waiting until mid-October would have meant delaying repairs until December which was not an ideal time of year for concrete repairs should there be a cold period.

The second involved the purchase of green land in the middle of a housing development site at Redwood Crescent, along with land at the sides and front of the existing buildings on the site. The intention is that a form of occupational licence for the temporary use of the land by the existing owner, Futures Homes Ltd, will be devised, in order that construction works to complete the remaining properties for which planning permission has been granted can be completed, along with the carrying out of landscaping in accordance with the aforesaid planning permission. The cost of the land purchase was (£1,050 plus legal costs).

3. Financial implications.

The financial implications are set out above.

Recommendation

Committee is asked to NOTE the exercise of the Chief Executive's urgency powers

Background papers

Nil

Report of the Interim Strategic Director

WORK PROGRAMME1. Purpose of report

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

Date	Tasks
12 December 2018	<ul style="list-style-type: none"> • Procurement and Commissioning Strategy • Health and Safety Annual Report • Apprenticeship Strategy • Treasury Management/Prudential Indicators 2018/19 Mid-Year report • Section 106 Update

3. Dates of future meetings

- 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



Broxtowe
Borough
COUNCIL

CAPABILITY POLICY

CONTENTS

CAPABILITY POLICY	1
1. Introduction.....	1
2. Scope	1
2.1 Absence Management.....	2
3. Principles.....	2
3.1 Serious Incapability.....	3
4. Roles and Responsibilities	4
4.1 Employees	4
4.2 Managers.....	4
4.3 HR Team	5
4.4 Trade Union Representatives	5
4.5 Employee Representative.....	5
5. Timescales	5
6. Early Identification and Intervention	5
6.1 Review Meetings	6
7. Capability Procedure – Formal Stage One.....	6
7.1 Review meetings	8
7.2 Possible outcomes:.....	8
8. Stage Two	8
9. Stage Three – Employment Redeployment/Termination.....	9
10. Stage Three Appeals.....	10
11. Appeals Process – Licensing and Appeals Committee	10
CAPABILITY ACTION - FLOWCHART	12

CAPABILITY POLICY

1. Introduction

Proper standards of work and performance are expected of all employees however, the Council recognises that there are occasions where an employee is unable to achieve the standards expected. This policy is designed to handle such issues and provide employees with the opportunity to understand how and why their performance or standard of work does not meet the needs of the service and, where possible, to support employees to improve.

2. Scope

Matters of conduct should be managed under the [Disciplinary Policy](#). Matters of capability should be managed under the Capability Policy.

It can often be difficult to decide whether a person's poor performance should be handled as a conduct or capability issue. In some cases, a problem may appear at first to be a conduct issue, but later transpires to be one of capability or vice versa. For example being late often is usually considered a conduct issue, but the cause may be linked to health issues or personal problems which could make it a capability issue. The key difference is to understand how much control the employee has over their personal situation.

The following comparisons may help you decide, but if you are in any doubt contact the HR team:

Capability (can't do)	Conduct (won't do)
Either:	Or:
The employee is making an effort, but they are not achieving the required improvement	The employee does not make enough effort
The employee has received the relevant training, but they do not appear to have acquired the necessary skills	The employee has the necessary skills but they are not applying these skills
The employee does not seem capable of obtaining relevant qualifications	The employee is capable of obtaining relevant qualifications but they are not interested in doing so
The employee accepts that their	The employee either fails accept that

performance is not up to standard and they are willing to improve	their performance is not up to standard or they acknowledge this but they do not care, and they do not seem interested in improving
	Failure to follow reasonable management instructions
	Unauthorised absences

Other examples of situations which this policy may cover include:

- Performance issues that would not necessarily be handled under the Council's disciplinary procedure, i.e. an employee's inability to carry out satisfactory performance of their job, for example, due to lack of professional insight, an inability to cope with reasonable workloads or not being able to meet identified standards
- An employee's inability to prioritise work, a lack of aptitude for the work itself, or a difficulty in adapting to changes in the work place, i.e. new technology
- Employees who have a long term medical problem which restricts their work ability/performance
- Employees with continuous service who have completed their probation period.

Note: this list is not exhaustive

An equality impact assessment has been undertaken.

2.1 Absence Management.

Employees who are absent from work due to medical problems will be supported by the Council's Attendance Management Policy.

3. Principles

The overall objective of the policy is to provide a framework around which an employee's performance can be improved, and this can be through advice, coaching, guidance and support.

For the purposes of this policy, 'Chief Officer' refers to the Chief Executive, Directors and Heads of Service.

Action under the capability policy should only be initiated by managers with full management responsibilities in conjunction with HR.

There needs to be recognition that certain issues of capability can mean that employees are not able to fulfil the work requirements of their contract and the procedure for managing capability problems reflects this.

The capability process will be conducted in a positive and constructive way, with the emphasis on developing a series of performance improvement plans, which are mutually agreed wherever practicable to reach the required standards.

Consideration will be given at all stages to the requirements specified under the Equality Act 2010 when supporting employees under the capability policy which could include issues such as training, redeployment, transfer, reasonable adjustments, reduced and/or flexible hours.

Regular reviews (at which an employee can be represented by a union representative or work colleague) should be undertaken to inform the employee of progress or otherwise. Where after any review sufficient improvement or progress has been made, the procedure should be ceased.

Action must be taken immediately in all cases where an employee is not fulfilling their duties.

Managers should give consideration when reviewing an employee's performance to the outcomes of any Performance Appraisals and the Council's competency framework.

It may not always be appropriate to go through the capability process stage by stage and there may be circumstances where it may be curtailed following Head of Service/Chief Officer in conjunction with HR agreement.

The right of appeal must be given against any sanction that is issued at any formal stage of the procedure.

3.1 Serious Incapability

In exceptional cases where one performance error or defect has serious consequences (e.g. if it results in the serious jeopardy of the health and safety of service users or other employees) the principles and procedure in this policy will not apply. Instead the procedure outlined in the Disciplinary Policy should be followed.

Whilst this policy provides a framework to support employees with performance capability issues and the Council's Attendance Management Policy supports employees with sickness absence issues, where matters relate to both sickness and performance of an employee, it may then be appropriate to undertake a review of all issues in accordance with one formal policy, which would normally be the Capability Policy.

4. Roles and Responsibilities

4.1 Employees

All employees have a contractual responsibility to perform to a satisfactory level. Employees are therefore expected to be committed to achieving satisfactory levels of performance and to attend any meetings and hearings convened in accordance with the Capability Policy and Procedure.

4.2 Managers

Managers are responsible for setting realistic and achievable standards and making sure employees understand what is required. Standards should be capable of being measured in terms of quality, quantity, time and cost. Any shortfall in performance should be pointed out to the employee concerned promptly, and consideration given as to whether this is due to inadequate instruction, training, supervision or some other failing.

It is the manager's responsibility to record and keep details of all meetings within the procedure with the employee and any targets, monitoring and support and to present the details of capability cases.

Managers are responsible for supporting employees with HR assistance who are having difficulty in maintaining the standards of performance that are required of them and relevant to their role.

Managers should at each stage ensure they have considered, where applicable, the following:

- medical opinions and the nature of any underlying illness which may be affecting an employee's performance at work
- other personal issues or work issues

- the operational needs of the service

- the impact of the performance on other employees

- whether the problem may be of a temporary nature

- the likelihood of any recurrence

- alternative working arrangements that may be available

- whether the disciplinary procedure or absence management procedure is more appropriate.

4.3 HR Team

The HR Team are responsible for advising and supporting managers in the application of this policy. Managers should notify Human Resources before undertaking any of the formal stages of this procedure.

4.4 Trade Union Representatives

The same standards will apply to trade union representatives as to all other employees. However, where formal action is being considered against a trade union official or representative, the full time official must be informed. This is to avoid the action being misconstrued as an attack on the union itself or on its representation and negotiating role, and is in accordance with the ACAS Code of Practice.

4.5 Employee Representative

At stage one of the procedure and beyond, an employee will have the right to be accompanied by a work colleague or represented by a Union representative. The representative/companion can on behalf of the employee address the meeting to put the employee's case, sum up the employee's case and respond on behalf of the employee to any views expressed at the meeting and confer with the employee during the meeting. The representative/companion does not, however, have the right to answer questions on the employee's behalf, address the meeting if the employee does not wish it or prevent the employer from explaining their case.

5. Timescales

The timescale between each formal stage of the procedure should be reasonable and appropriate and as each case will be different it is not appropriate to set fixed timescales. However, as a general guide review periods should be between one and three months but no longer than four months. An action flowchart is attached at appendix 1 which gives an overview of the process to be followed.

6. Early Identification and Intervention

In the first instance, managers will be expected wherever reasonably possible to identify any work performance issues early on. It is expected that the majority of performance related issues will be resolved promptly and informally at an early stage.

Managers must hold a meeting with the employee and give clear and specific examples of performance issues and/or problem areas expressing their concerns and highlighting where improvements are required. Trade Union representation or HR support would not normally be expected at this meeting.

The employee will be given the opportunity to respond and explain any factors affecting his/her current performance levels or standard of work. If any underlying medical issues are suggested, after discussion with HR it may be appropriate to refer

the employee to Occupational Health who can provide specialist advice on managing and accommodating health issues.

If the employee raises issues of work-related stress, the Manager must undertake a Stress Risk Assessment immediately and discuss with HR.

The manager should give thorough consideration to all the responses made by the employee and be sensitive to the fact that unless otherwise identified, issues of performance are not disciplinary in nature, and that the correct approach is therefore one of constructive support, guidance, coaching and encouragement.

It is important that a record of these discussions is made outlining the improvements expected together with any action plan, timescales or targets. The manager should summarise the outcome of the discussion in writing in a clear and constructive way to the employee. An example of an action/improvement plan (CP1) is available on the intranet,.

The employee will be asked to sign the improvement plan and a copy must be sent to HR to place on the employee's personal file.

6.1 Review Meetings

During the agreed monitoring period, the manager must meet with the employee to provide feedback to the employee on their progress and to amend the plan where appropriate. Where the employee has achieved the appropriate standard of performance, this should be communicated to the employee and an agreement to maintain the standard of performance should be made, including how this will be measured.

If however the performance remains unsatisfactory, the manager should refer to Stage One of the Capability Procedure.

7. Capability Procedure – Formal Stage One

Where early identification, intervention and support have not sufficiently improved an employee's performance, a manager should then undertake a review under Stage One of the Capability Procedure.

Where an issue at the outset is of a more serious nature a manager can move straight to Stage One of the Capability Procedure for example, failing to meet a statutory or important internal deadline

The employee should be notified in writing that they are required to attend a meeting, in order to discuss the issues of concern. They should be given a minimum of five working days' notice that a meeting is to be held. A representative from HR must also attend.

The letter to the employee should include:

- details of the employee's alleged capability problem

- the informal performance improvement plan
- record of monitoring/progress to date
- date, time and location of the meeting
- notification of the right to be represented/accompanied by either a trade union or work colleague

Any documentation that management and/or the employee/ representative wishes to submit should be provided in advance wherever practicable. This will avoid delays at the meeting.

The meeting should include the following:

- a discussion about the shortfall in performance
- a review of the monitoring period and support given
- a discussion around the shortfall in performance or standard of work
- a discussion about the impact on service delivery that the shortfall is having
- a discussion about what further training and support is required and can be provided
- consideration of any extenuating circumstances that may be affecting the employee's performance
- agreement (where practicable) of the improvement plan and further targets and standards required
- establishment of formal monitoring review date (within 1 to 3 months) and any interim review meetings

The outcome of the meeting must be confirmed in writing by the manager to the employee within five working days of the meeting, identifying objectives set and timescales to be achieved, along with a review period. The right of appeal should also be confirmed.

If an employee wishes to appeal this must be done in writing, to the relevant Head of Service/Chief Officer within five working days of receipt of the outcome.

The written notice of appeal must make clear the reason for the appeal, including whether the employee is appealing against the finding that they had committed the alleged act or acts of misconduct, and/or the form of disciplinary action decided upon. The grounds for appeal are as follows:

(i) that the decision of the Deciding Officer is flawed because the evidence did not reasonably support the conclusion reached;

(ii) that new evidence not previously available has come to light since the Manager's report;

(iii) that any action proposed was inappropriate in the circumstances of the case;

(iv) that there has been a failure to follow procedure which has affected the decision taken by the Deciding Officer;

(v) that there was evidence of prejudice or bias by the Deciding Officer or Manager

The Head of Service/Chief Officer should within 7 working days following receipt of the employee's written notice of appeal review all the information available and decide whether or not to uphold, amend or revoke the original decision.

7.1 Review meetings

At the review meetings at the end of the agreed monitoring period the line manager will discuss the progress with the employee and inform them of the outcome of the review period.

7.2 Possible outcomes:

At the final review meeting there will be three possible outcomes:

- the employee has now reached, or is shortly expected to reach, the specified levels of performance, and that no further action is necessary;

or

- the employee has made substantial improvements, but his/her performance is still well below acceptable standards. A further review period of one to three months will therefore be required;

or

- the employee has made little or no improvement, and has shown few signs that he/she will be capable of meeting the required standard. In such circumstances, a meeting under Stage Two of the procedure should be arranged.

8. Stage Two

If there has been no acceptable improvement, or the matter is sufficiently serious and/or the service continues to be affected, a Stage Two meeting should be arranged by the manager.

The employee should be notified in writing in the same format as Stage One. They employee should be given a minimum of five working days' notice that the meeting is to be held. A representative from HR must also attend the meeting.

The outcome of the meeting must be confirmed in writing by the manager to the employee within five working days of the meeting, together with any objectives set and timescales to be achieved, together with a review period. The right of appeal should also be confirmed.

If an employee wishes to appeal this must be done in writing, to the relevant Head of Service/Chief Officer within five working days of receipt of the outcome. The written notice of appeal must make clear the grounds of the appeal, including whether the employee is appealing against the finding that their performance or standard of work is not acceptable, and/or the form of capability action decided upon. The grounds of appeal are as follows:

- (i) that the decision of the Deciding Officer is flawed because the evidence did not reasonably support the conclusion reached;
- (ii) that new evidence not previously available has come to light since the Manager's report;
- (iii) that any action proposed was inappropriate in the circumstances of the case;
- (iv) that there has been a failure to follow procedure which has affected the decision taken by the Deciding Officer;
- (v) that there was evidence of prejudice or bias by the Deciding Officer or Manager

The Head of Service/Chief Officer should within 7 working days following receipt of the employee's written notice of appeal review all the information available and decide whether or not to uphold, amend or revoke the original decision.

9. Stage Three – Employment Redeployment/Termination

Where there has been no or insufficient improvement at Stage Two of the policy a Stage Three Capability hearing should be arranged with the relevant Head of Service/Chief Officer.

The Manager must write a report detailing the performance-related issues, support given, training, reasonable adjustments, OH advice (if appropriate), mitigation and recommendations. The employee should again be notified in writing, enclosing a copy of the Manager's report in the same manner as Stage One and Two, They should be given a minimum of seven working days' notice of the hearing and that that the outcome could be dismissal or redeployment.

Where an employee refuses or does not attend a Stage Three capability hearing without a reason that is acceptable to the Head of Service/Chief Officer, the procedure may nevertheless be continued. In such circumstances, the employee should be informed that the Council would have to proceed without the benefit of a personal response from the employee to help the Head of Service/Chief Officer reach their decision.

HR must be in attendance.

The manager should present their report to the Head of Service/Chief Officer. The employee and/or their representative will have the opportunity to respond at the hearing.

After considering the representations made, there will be an adjournment and the Head of Service/Chief Officer, advised by HR can decide on one of the following actions:

- redeploy the employee to another available position within the Council which is acceptable to the relevant Head of Service/Chief Officer and the employee. See the Redeployment Policy.
- terminate the employee's contract of employment;
- Exceptionally, refer the case back to the Manager to provide further support and monitoring pending a re-convened Stage Three hearing.

The decision should be given orally at the meeting if possible and confirmed in writing within five working days of the meeting. The employee should also be notified of his/her right of appeal against the decision to the Council's Licensing and Appeals Committee.

10. Stage Three Appeals

If an employee wishes to appeal this must be done in writing, to the relevant Head of Service/Chief Officer within five working days of receipt of the outcome. The written notice of appeal must make clear the grounds of the appeal,

The grounds for appeal are as follows:

- (i) that the decision of the Deciding Officer is flawed because the evidence did not reasonably support the conclusion reached;
- (ii) that new evidence not previously available has come to light since the Manager's report;
- (iii) that any action proposed was inappropriate in the circumstances of the case;
- (iv) that there has been a failure to follow procedure which has affected the decision taken by the Deciding Officer;
- (v) that there was evidence of prejudice or bias by the Deciding Officer or Manager

The Head of Service/Chief Officer should within 7 working days following receipt of the employee's written notice of appeal review all the information available and decide whether or not to uphold, amend or revoke the original decision.

11. Appeals Process – Licensing and Appeals Committee

Where an employee wishes to appeal against a Capability Stage Three decision the appeal will be heard by the Licensing and Appeals Committee.

Appeals heard by the Licensing and Appeals Committee will normally be held at the first appropriate meeting, providing sufficient and reasonable time is allowed for all

parties to prepare their documentation/evidential papers for submission to the Committee.

All relevant paperwork and documents which the employee wishes to rely on at the appeal should be submitted to the Human Resources Manager no later than seven working days before the Licensing and Appeals Agenda dispatch date. Correspondence which the Deciding Officer wishes the committee to consider should also be submitted to the Human Resources Manager no later than seven working days before the Licensing and Appeals Agenda dispatch date.

The employee will be allowed reasonable time before the appeal hearing to meet with their representative to prepare their case.

An appeal to the Licensing and Appeals Committee does not provide an opportunity for a rehearing but a review of the Stage Three decision, The hearing by the Committee should

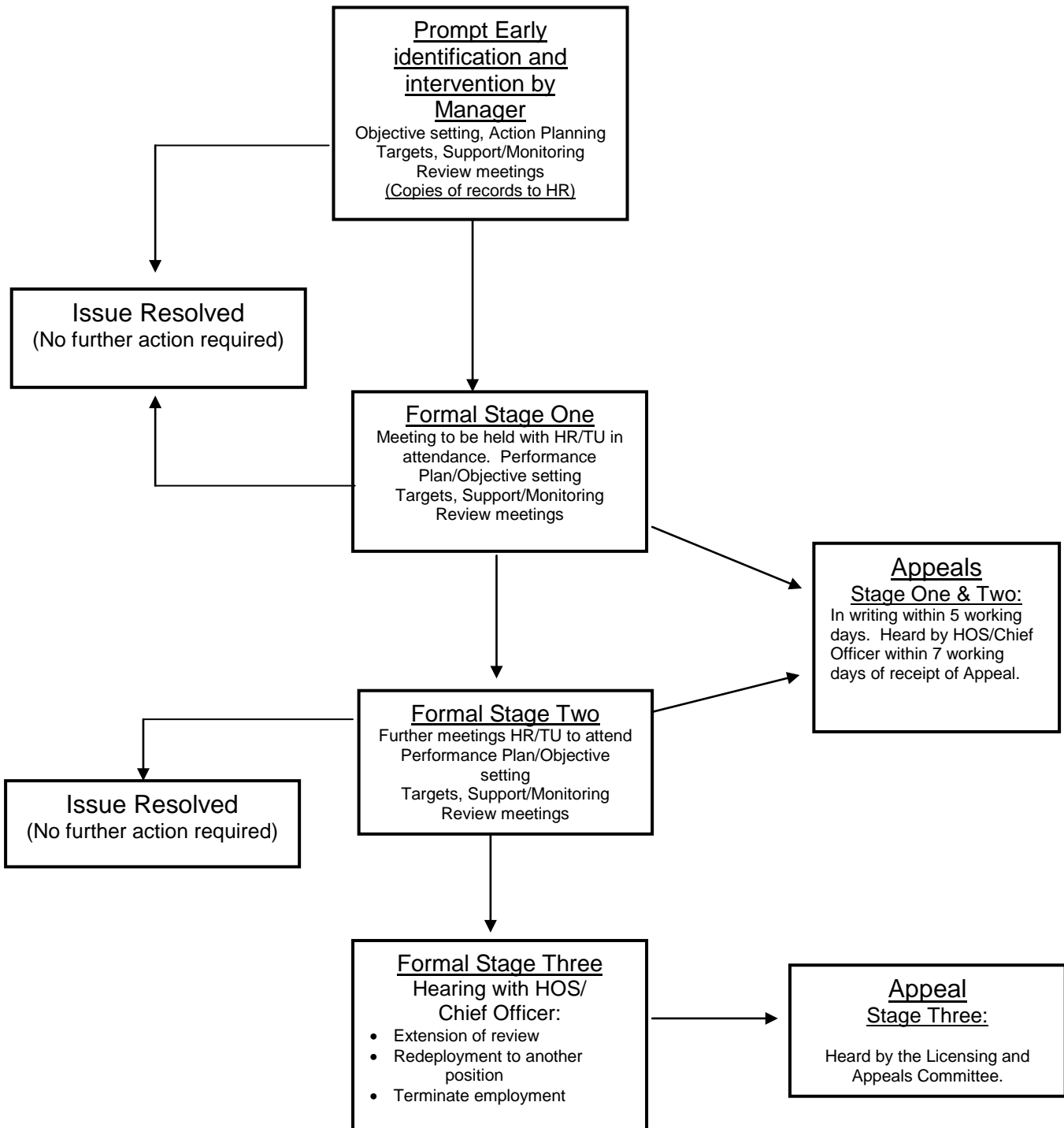
- allow all parties to state their case
- enable the Committee to consider all information presented at the appeal fully, fairly and impartially.

The Committee should consider whether the correct decision was made and/or whether an error in the Capability Policy occurred on the information heard by the Deciding Officer.

At the conclusion of the Appeal, the Committee will review all the evidence and decide whether or not to uphold, amend or revoke the original action. The decision, and the reasons for it, will be conveyed orally as soon as possible, and confirmed in writing by Legal Services within five working days of the decision.

Should any capability action following the appeals process be fully withdrawn, all relevant documentation on the employee's personal file will be removed. The employee will also have any benefits reinstated with immediate effect.

CAPABILITY ACTION - FLOWCHART





Broxtowe
Borough
COUNCIL

FLEXIBLE WORKING POLICY

CONTENTS

1. Introduction	2
2. Policy Aims.....	2
3. Business Need	2
4. Main Principles.....	3
5. Alternative patterns of working hours	3
6. Voluntary Changes in the Number of Hours.....	4
7. Compressed Weeks/Fortnights	4
8. Term Time Working.....	4
9. Annualised Hours	4
10. Job Sharing.....	4
11. Part-Time Working	5
12. Working at Home/Remote Working.....	5
13. Key Considerations	5
14. Making an Application	6
15. Considering the Application.....	6
16. Refusing a Request.....	6
17. Appeals	7

FLEXIBLE WORKING

POLICY

1. Introduction

In 2014, the Government updated legislation in relation to the right to request flexible working for all employees. This policy reflects those changes.

<http://www.legislation.gov.uk/ukxi/2014/1398/made>

Broxtowe Borough Council recognises the importance of supporting employees to balance their work and home life. This policy provides an overview of the opportunities that are in place at the Council to support the work life balance of employees.

2. Policy Aims

This policy aims to ensure that it complies with The Flexible Working Regulations 2014. This policy gives all employees the opportunity to request a change in their working hours either on a temporary or permanent basis.

This policy also aims at ensuring that any change to an employee's working hours is fair and lawful whilst being responsive to the requirements of the service.

3. Business Need

The Council is committed to providing a wide possible range of working patterns; however both management and employees need to be realistic and recognise that different working options may not be appropriate for all jobs across all areas of the organisation. Operational requirements will determine what can be agreed.

The potential benefits of improved work life balance include:

- Having a more motivated, productive workforce
- Increasing employee satisfaction and engagement
- Retaining valued employees and their skills
- Reducing absenteeism
- Creating a more flexible service, potentially providing staffing over a wide range of hours, and providing more appropriate responses to the needs of customers
- Attracting a wider range of candidates, such as older part-time workers and those that care for others

- Supporting diversity and equality policy and objectives
- Reducing the demand on office accommodation
- Reducing employee turnover and consequent cost of recruitment and training of new staff.
- Enhancing the Council's reputation as a good employer

4. **Main Principles**

All employees who have worked for Broxtowe for more than 26 weeks are eligible to apply for a change in their work hours or work pattern. Whilst the Authority is committed to being flexible employees need to recognise that the arrangements must fit business requirements and managers in turn need to consider requests thoroughly.

Requests can relate to working patterns such as annualised hours, compressed hours, flexible hours, home working, job sharing, shift working, staggered hours and term-time working.

An application will be taken as having been made on the day that it is received.

Employees must not have made another request to work flexibly during the previous twelve months as provided for in the legislation. The arrangements may be permanent or temporary. The change is permanent due to only being able to make one request per year but in some cases, it may be possible to undertake a temporary trial period between one and three months.

A decision to grant one employee's specific request does not mean a similar request from another employee will be automatically granted as the decision is based on operational requirements.

The relevant Head of Service in consultation with the Human Resources Team will consider any request.

A condition of any approved request may be that it is subject to review within 12 months to ensure the needs of the service are being met. Sometimes it may be appropriate to undertake a trial period before formal agreement.

Where a request is refused and the employee wishes to appeal, it will be heard by the relevant Chief Officer.

5. **Alternative patterns of working hours**

The following are alternative patterns of working that an employee may wish to consider when applying under this policy:

6. **Voluntary Changes in the Number of Hours**

This arrangement refers to the ways in which employees have opportunities to change the number of working hours worked, by either:

- Decreasing them, by reducing working hours, or by splitting a full-time job into two part-time jobs i.e. job sharing.
- Increasing hours, by coupling two or more part-time jobs, or adding additional hours to their current contracts (within existing established hours). Increased hours will be subject to budgetary constraints and may not be possible to approve.

7. **Compressed Weeks/Fortnights**

Compressed weeks/fortnights refer to full-time employees working their full-time hours over a four, or a four and half-day week, or a nine-day fortnight instead of the five-day week.

8. **Term Time Working**

This initiative is usually an arrangement of hours that enables parents to spend more time with their children over the school holidays, or for employees who have difficulties in arranging care that complements school opening hours. Term Time Working requests within a team must be balanced with the operational needs of the service and will only be approved on a 'first come, first served' basis.

9. **Annualised Hours**

This is a system where an employee's contractual working hours are calculated as the total amount of hours to be worked over the year, allowing flexible working hours to be worked (seasonal peaks and troughs). Employee's salary will remain on a twelve monthly equal instalment payment.

Notes: all annualised hours schemes must take account of the relevant parts of the Working Time Regulations regarding breaks and the number of hours worked in any particular period.

10. **Job Sharing**

Traditionally, job sharing is a way of working where two people share the responsibilities of one full-time worker, each working part-time. There are two types:

Shared responsibility – the two employees share all the responsibilities of one full-time job, each performing the full range of duties picking up

where the other left off. This is most suited to ongoing working rather than project based work.

Divided responsibility – the responsibilities of one full-time position are divided between two people, although they may also provide back up for each other as required. This is most suited to work which can be easily divided up, e.g. project work.

Further details can be found under the Job Sharing Policy available on the intranet.

11. Part-Time Working

A part-time employee is defined as any employee who is contracted to work less than the basic full-time contractual hours in that type of work. The number of hours can vary enormously. Part-time working can take various patterns, including part-day, part-week and part-year.

12. Working at Home/Remote Working

Working at home means employees carrying out all, or a proportion of their duties in their own homes rather than on Council premises. It may be an odd day to carry out a piece of work that can be better achieved at home, or it could be a regular arrangement of more than one day a week.

Where an employee is granted the opportunity to work at home on an occasional basis, this must be agreed in advance and recorded and monitored by the manager. Managers and employees should refer to the Homeworking policy available on the intranet prior to any occasional homeworking taking place.

Remote working arrangements may be relevant for mobile employees who spend a high proportion of their working time away from their work base. It means that they do not necessarily check in at an office, depot or other work base at the beginning and end of the working day. (This option will be subject to separate development, piloting, monitoring and evaluation).

13. Key Considerations

On receipt of a request from an employee, the Head of Service must consider with Human Resources the following points, (where relevant) before making a decision on whether it can be supported.

Not all posts will be suitable for a change in working hours or patterns and where a Head of Service rejects such a request, there will be the opportunity to discuss the individual's personal circumstances with the Human Resources Team.

- the employee's requested requirements
- the working arrangements within the section e.g. if a small team or section
- the nature of the work
- the office space and resource requirement
- the flexibility needed in the role
- the retention of the employee
- possible efficiency gains
- allocation of working hours and the need for overlap and office cover
- the opportunities to recruit to the remaining hours
- whether modifications to the original request can be made
- whether the request falls within the remit of reasonable adjustments in accordance with the Equality Act 2010
- Whether the request should be supported on an initial temporary basis prior to any permanent arrangements being confirmed

14. **Making an Application**

Any application from an employee to request flexible working should be completed in full on form FW1 (available on the intranet or from the HR Division). Applications should be made a minimum of 28 working days prior to the requested date of change of hours.

15. **Considering the Application**

Where a Head of Service (**after discussion with HR**) agrees with the proposal the employee must be notified of the variation that has been agreed and the date on which it will take effect.

If the Head of Service does not agree with the request they must meet with the employee and HR to discuss the request within 21 working days of it being made. This initial meeting will provide an opportunity to discuss any issues and consider alternatives. The employee will have the right to be accompanied at the meeting by a colleague or union representative.

The Head of Service must inform the employee of their decision in writing within 5 working days of the meeting. If a variation is agreed, the Head of Service must set out the agreement and the date from which it takes effect.

16. **Refusing a Request**

Where the request is refused, upon consultation with HR, the Head of Service must confirm this in writing to the employee within five working days, providing the grounds for refusal and explaining their right to appeal against the decision.

Valid grounds for refusing a request include:

- the burden of additional costs
- • an inability to reorganise work amongst existing staff
- • an inability to recruit additional staff
- • a detrimental impact on quality
- • a detrimental impact on performance
- • detrimental effect on ability to meet customer demand
- • insufficient work for the periods the employee proposes to work
- • a planned structural change to your business.

Each request for flexible working will be considered individually, taking into account the likely effects the changes will have on the service and the Council, the work of the department, work colleagues and the particular circumstances of the case.

Where the Council agrees to one request, it will not set a precedent or create a right for another employee to be granted the same or a similar change to their working pattern. By approving one request, this may mean that the business context has changed and this may be taken into account when considering a second request from another employee.

17. Appeals

An employee will have 10 working days after the date they were notified of the decision to appeal in writing to the relevant Chief Officer setting out the grounds for their appeal.

The Chief Officer must hold an appeal meeting within 10 working days after receiving the employee's notice. The employee will have the right to be accompanied at the meeting by a work colleague or union representative. HR must be in attendance. The employees' manager will have the opportunity to present their reasoning for the refusal at the meeting and the Chief Officer may ask questions, along with the employee.

The Chief Officer will notify the employee of their decision within 5 working days after the date of the meeting. If the request is accepted the employee must be informed of the variation agreed and the date on which it takes effect. If the request is refused, the Chief Officer must set out the grounds for the refusal and how they relate to the request.

Flexible Working Request (Change to working arrangements)

Please read the Flexible Working Policy before you complete this form.

Name of employee	
Job title	
Department	
Name of manager	

PART 1: To be completed by the member of staff

Qualifying Criteria

I would like to apply for a flexible working pattern and hereby confirm that:	Yes/No
I have 26 weeks continuous service at Broxtowe Borough Council	
I have not made a request for flexible working in the past 12 months.	

Change Request

Type of request	Yes/No
Temporary Trial Period (No contractual change required)	
Formal Permanent Arrangement (Contractual change required)	

Please provide details of your current working pattern:

Days/Hours/Times Worked

I wish to request the following changes to my working arrangements:

Please provide details of your request for flexible working arrangements.

I would like this working arrangement to commence on:

Date	
-------------	--

(If applicable) I would like this working arrangement to cease on:

Date	<i>(Please leave blank if request is permanent)</i>
-------------	---

Anticipated Business Impact

It is important to consider the possible business implications associated with adopting flexible working arrangements. Please answer the questions below to help you and your manager discuss your request.

How will the requested change benefit your department and the Council?

What are the business benefits of your proposed way of working?

What impact will the requested change have on your department and the Council?

- *Cost (save or increase)*
- *Will my department need to employ someone else?*
- *Will there be an impact on the service my department provides?*
- *Will there be an impact on the department's ability to support the University's strategic objectives?*

How will the requested change impact your colleagues/team?

- *Will it put more pressure on others?*
- *Will there be enough cover?*

Employee's Declaration

I confirm I have read and understood the Council's Flexible Working Policy.

Formal Arrangements Only

I confirm I have considered the impact of any adjustment which will be made to my salary (and the impact on my pension) if this request is approved and I am aware that this change will be permanent (unless a temporary trial arrangement has been agreed).

Signature

Date

Part 2: To be completed by the manager

SECTION A: APPROVAL

FORMAL ARRANGEMENTS:

I confirm my approval of the following flexible working arrangements:

Please provide details of the change agreed and the date in which it should take effect:

SECTION B: TRIAL PERIOD

I confirm my agreement for the staff member to undertake a trial period of the following flexible working arrangements to determine the suitability of this arrangement :

Please provide details of the trial period and timescales agreed:

SECTION C: DECLINE

I confirm that I am unable to approve the staff member's request for flexible working arrangements:

Please provide details of relevant information relating to reasons for declining this request.

Statutory reason(s) for declining request	Tick
The burden of additional costs	
Detrimental effect on ability to meet customer demand	
Inability to reorganise work amongst existing staff	
Inability to recruit additional staff	
Detrimental impact on quality	
Detrimental impact on performance	
Insufficiency of work during the periods the employee proposes to work	
Planned structural changes	

Manager's Declaration	
I confirm I have considered this request in line with the Council's Flexible Working Policy.	
Name	
Signature	
Date	



Broxtowe
Borough
COUNCIL

JOB SHARING POLICY

CONTENTS

1. Introduction.....	1
2. Operation.....	1
3. Contractual Implications	1
4. Administrative Considerations	2
5. APPENDIX A.....	2
Bank holiday calculations for part-time and job share employees.	2

JOB SHARING POLICY

1. Introduction

Job sharing can be described as an arrangement whereby two people share the responsibilities of one full-time job but not all posts will be suitable for consideration.

See also Flexible Working Policy and The Flexible Working Regulations 2014.

2. Operation

Employees may request that their job be converted to job share by firstly discussing the request with their Head of Service.

Where a Head of Service wishes to reject such a request they must discuss this with the Human Resources Team.

Where a request is agreed then the other half of the job should be advertised. Job sharing can only commence when there are two partners unless prior agreement is reached within the Directorate and the contractual obligations still apply.

3. Contractual Implications

Both job sharers will have separate contracts that share the pay and benefits of the post on a pro-rata basis. The duties and responsibilities will also be shared equally according to the allocation of hours.

The contractual obligations of both employees will depend on the ability to recruit another person if one of the sharers leaves. The Head of Service will determine the operational requirements of the section in the given set of circumstances.

The contractual clause will be as follows:-

“If one of the job sharers resigns or their employment is terminated by the Council, the remaining job sharer will be offered a number of options dependent upon the Head of Service’s review of the operational requirements. The options may include:-

- i) Conversion to full-time working in the post.
- ii) No change contractually and recruitment to the vacancy.
- iii) Recruitment to the vacancy with flexibility to alter contractual terms to meet both job sharers needs.
- iv) Redeployment to another suitable post if practicable.
- v) Conversion to part-time with some review of duties and responsibilities.

Where it is accepted that there must be full occupancy of a post, either by a full-time employee or by a job share arrangement, and all reasonable steps to fill the other part of the post have been exhausted then the employment of the remaining job sharer would be terminated with due notice.

4. Administrative Considerations

The main consideration for administration will be ensuring that both employees communicate with each other to provide a consistent and streamlined service within that role. It would be useful to build into both parties' working week a period when handover of work can take place.

The actual working hours and day of each employee will depend upon the employee initially requesting job share and the ability to recruit to the remaining hours and days.

The Management of annual leave and bank holidays will be undertaken within each Directorate. The bank holidays and discretionary days will be split on an equal basis between both job sharers. The administrative method for calculating pro-rata allowances is shown in Appendix A.

For further advice and clarification please contact HR.

5. APPENDIX A

Bank holiday calculations for part-time and job share employees.

There are currently a total of 8 bank holidays and discretionary days during the year. To enable part-time or job share employees a fair and equitable method of benefiting from these holidays the following system for calculation is recommended.

Pro-rata the 8 days according to either the full days worked or the proportion of the week worked and add this amount to the annual leave entitlement. All employees working part time or job share will have their annual leave and bank holidays calculated in hours.

Bank holiday entitlement in hours should be added to the employee's annual leave card. If a bank holiday falls on a normal working day then the employee has to book the day off on their leave card. If the employee is working the bank holiday, or the bank holiday falls on a day that they do not normally work then no action is required on their annual leave card.

It would be useful in managing holidays for part time or job share employees if individuals calculate how many hours they will need to book off for bank holidays at the start of their leave year and their card amended accordingly. It is recognised that employees who work at the latter half of the week may need to use some of their annual leave entitlement to cover the amount of bank holidays they are absent from work.

Please contact HR if you have any queries



Broxtowe
Borough
COUNCIL

LEAVE SCHEME

CONTENTS

LEAVE SCHEME	1
1. Leave Entitlement.....	1
1.1 Calculating Leave Entitlement	1
1.2 Leave Entitlement in Working Days	1
1.3 Notice of Annual Leave.....	1
1.4 Carry Over Leave	2
1.5 Statutory Holidays.....	2
2. Additional Leave of Absence	2
2.1 Paid Leave for Special Duties.....	2
2.2 Union Representatives on Approved Trade Union Activities.....	3
2.3 Interview Leave.....	3
2.4 Revision and Examination Leave.....	3
2.5 Holiday Purchase Scheme (previously Unpaid Leave)	3
2.6 Leave of Absence – Service in Non-Regular Forces	5
2.7 Maternity Leave	5
2.8 Paternity Leave.....	5
2.9 Additional Paternity Leave and Pay	5
2.10 Adoption Leave	5
2.11 Parental Leave.....	6
2.12 Shared Parental Leave	6
2.13 Compassionate Leave	6
2.14 Emergency Time Off for Dependants Scheme	6
2.15 Extenuating Circumstances	8
2.16 Suspension	8
3. Annual Leave and Sickness Absence	8
3.1 Employee absence due to sickness.....	8
3.2 Sickness during period of annual leave	9
4. Long Service Award	9
4.1 25 year award	9
4.2 Additional service beyond 25 years	9
4.3 Retirement	9

LEAVE SCHEME

1. Leave Entitlement

1.1 Calculating Leave Entitlement

The amount of annual leave an employee is entitled to in a leave year is calculated on the basis of length of completed continuous local government service and length of completed continuous Broxtowe service and according to grade. The calculation of entitlement is based from the start of employment with the Council.

Although the leave year will commence on the first of the month following the date of appointment a pro rata allowance will be given for the period from commencement to the start of the leave year. This applies to both annual and bank holiday entitlement. If an employee terminates their contract part way through a month the same pro rata entitlement will apply.

1.2 Leave Entitlement in Working Days

	Initial leave	After 5 years local government continuous service	After 10 years Broxtowe continuous service
Up to and included grade 7	27 days	30 days	32 days
Grade 8 and above	30 days	33 days	35 days

For the purpose of calculating leave (annual and public holiday) entitlements must be expressed in hours over the leave year, e.g. for part time employees or employees whose working shift patterns vary from one day to the next.

1.3 Notice of Annual Leave

Under normal circumstances, where an employee wishes to take more than 2 weeks annual leave, not less than 2 weeks' notice will be given. Where an employee wishes to take up to 2 weeks annual leave, not less than one week's notice will be given.

The timing of an employee's annual leave is at the Head of Service's discretion with due regard to the wishes of the employee and service delivery requirements.

1.4 Carry Over Leave

Leave not exceeding one working week may be carried forward at the discretion of the appropriate Head of Service. The carrying forward of leave in excess of one working week for a particular and identified purpose may be approved by the Head of Service in consultation with Human Resources.

An employee who leaves the local government service will be allowed one-twelfth of their leave entitlement plus one-twelfth of the annual bank holiday entitlement for each completed month of service in the current year, **and a pro rata allowance as detailed above for a part month.**

1.5 Statutory Holidays

There will be eight statutory days each year. The Council will be closed on the following eight days, so these will be counted as public holidays and a day off for most employees, apart from any essential services:

- New Year's Day
- Good Friday
- Easter Monday
- May Day Monday
- Spring Bank Holiday Monday
- August Bank Holiday Monday
- Christmas Day
- Boxing Day

For employees who normally work Monday to Friday, when Christmas Day and New Year's Day fall in any part of the weekend, a week day in lieu will be granted.

2. Additional Leave of Absence

2.1 Paid Leave for Special Duties

Paid leave will be granted to employees who undertake approved public responsibilities or other approved duties during working hours; e.g. jurors, magistrates, elected representatives of local authorities, statutory tribunals or public bodies. Prior notice is required in all circumstances. Loss of earnings payment is to be claimed from the body where appropriate, as an equivalent deduction from salary will be made. Where employees are required to attend Court on behalf of the Council, the appropriate time will be credited. Employees attending personal matters at Court will not be eligible to claim any time back.

2.2 Union Representatives on Approved Trade Union Activities

Recognised trade union representatives will be granted reasonable paid time off for approved training and attendance at official meetings. See Time off for Trade Union duties and Facilities Support Policy for further information.

2.3 Interview Leave

Up to five days paid leave in any one leave year (pro rata for part time employees) will be granted for attending interviews at other local authorities, where prior notice is given to the Head of Service. All requests must be submitted on Form IL and authorised by the Head of Service, with a copy to Human Resources for monitoring purposes.

2.4 Revision and Examination Leave

Where an employee is taking an examination or test leading to a recognised qualification from an authorised course, paid leave will be granted to enable the employee time to prepare. The time granted will be double the actual duration of the examination or test. For example a three hour examination will have a six hour revision leave. Equivalent time will also be granted to employees taking courses which depend on continuous assessment at the discretion of the Human Resources Manager.

Paid examination leave will be granted of up to a half a day for an examination or test dependent upon the duration of the examination or test. If the examination or test is away from Nottinghamshire, the Head of Service in consultation with the Human Resources Manager has discretion to extend the allocation.

2.5 Holiday Purchase Scheme (previously Unpaid Leave)

Employees wishing to enhance their existing annual leave entitlement may request additional unpaid leave by completing form HPS which is available on the intranet or from their manager.

This scheme entitles employees to request unpaid leave up to a maximum of 15 days (pro rata for part time employees) in any one leave year, subject to service delivery requirements and with approval of the appropriate Head of Service in consultation with the Human Resources Manager. These days can be requested individually or in a block of leave during an employee's leave year. Wherever possible an employee should submit their request prior to the start of their leave year so that full consideration can be given to the impact of the absence and how it could best be managed.

The employee should make the request at least 2 weeks before they wish to take the time (unless urgent leave is required and no other form of leave is available to the individual, i.e.: annual or flexi leave).

If the application is successful, amendments to the employee's monthly salary will be made either in the same month that the leave is taken, the following month the leave is taken or spread over the remaining months left within their leave year.

Employees must ensure that the leave is taken within their leave year and any unpaid leave under this scheme will not be able to be carried forward into the following year.

When considering whether an employee's request can be supported, the Head of Service should liaise if appropriate with the relevant manager and give careful consideration to the following questions:

- What will the impact of the employee's absence from work be on service delivery?
- What will the impact be of the employee's absence on other employees within the team?
- Do any other employees also wish to take unpaid leave and, if so, how can the scheme be applied in a consistent and fair way?
- Have other employees affected by the absence been consulted on the proposed request?
- What are the savings that can be achieved from the period of unpaid leave being taken?
- Will other arrangements have to be put in place which in turn will have resource or cost implications? (e.g.: needing others to undertake additional work/be paid overtime).
- Has sufficient notice been given by the employee so that arrangements can be put in place to cover the absence?
- If the absence is required because of an emergency situation, are there any other policies or schemes available to help and support the employee requesting the unpaid leave?

Where a Head of Service is unable to support a full request or can only support a part request, then they must provide a reason for their decision. There will be no right of appeal where a request has not been supported.

To apply for leave under the Holiday Purchase Scheme, please complete Form HPS which can be found on the intranet under Human Resources A-Z Forms.

2.6 Leave of Absence – Service in Non-Regular Forces

The Council endorses the principle that volunteer members of the non-regular armed forces who attend summer camp will be granted the two weeks paid leave, additional to their normal annual leave.

Subject to the note below, the Council will grant paid leave to members of the Territorial Army who are required to undertake training additional to attendance at summer camp and who are unable to arrange for such training to be on days when they would normally not be working.

Note: Under the Reserve Forces Act, 1966 volunteers may be required to undertake training for up to 16 days per annum (usually on Saturdays and Sundays). Territorial Army Units should be in a position to offer alternative dates and the onus is, therefore, on the employee to try to arrange for training to be undertaken in off-duty time. If this is not possible the employee should furnish alternative dates to the Council so that mutually acceptable dates for their absence may be found.

2.7 Maternity Leave

The occupational maternity scheme will apply to all pregnant employees regardless of the number of hours worked per week. Full details of the Maternity Leave Scheme are available on the Intranet.

2.8 Paternity Leave

Up to two weeks leave (either 1 week or 2 consecutive weeks, but not odd days) will be granted in respect of paternity leave at or around the time of birth. This leave is also available to nominated carers subject to the appropriate proof of need. In addition some employees are entitled to additional paternity leave and pay. Full details of the Paternity Leave Scheme and Additional Paternity Leave Scheme and Pay are available on the Intranet.

2.9 Additional Paternity Leave and Pay

Some employees may be entitled to a maximum of 26 weeks additional paternity leave and pay. Please refer to the Additional Paternity Leave and Pay Scheme for further information.

2.10 Adoption Leave

Adoption leave is available to any employee who adopts a child, subject to set criteria, the full details of which are available. Please refer to the Adoption Leave Scheme and Additional Paternity Leave and Pay Scheme on the intranet.

2.11 Parental Leave

Up to thirteen weeks unpaid leave can be taken by any employee who has responsibility for caring for a child, normally up to the child's fifth birthday. Full details of the Parental Leave Scheme are available on the intranet.

2.12 Shared Parental Leave

Shared Parental Leave enables eligible employees to share responsibility of work and caring for a child during the first year of birth or adoption. Full details of the Shared Parental Scheme are available on the intranet.

2.13 Compassionate Leave

Up to five days paid leave per rolling year will be granted in the event of the death of an employee's spouse, partner, civil partner, parent or child or the death of a dependant relative, which includes the day of the funeral.

In the event of the death of other relatives or close friends of an employee, one day's paid leave may be granted on the day of the funeral, at the discretion of the Head of Service with approval from the HR Manager.

Additional days may be granted by Heads of Service (in conjunction with Human Resources) in exceptional circumstances up to a maximum of ten days per rolling year.

The form (CL1) should be completed and submitted for leave to be granted. Approval will be at the discretion of the Head of Service and a copy will be sent to the HR Manager to be placed on your personal file.

2.14 Emergency Time Off for Dependants Scheme

These guidelines outline when employees are able to take time off work to deal with certain unexpected or sudden emergencies and to make any necessary longer term arrangements.

The emergency must involve a dependant of the employee. A dependant is the husband, wife, civil partner, child or parent of the employee. It also includes someone who lives in the same household as the employee. For example, a partner or an elderly aunt or grandparent who lives in the same household. It does not include tenants or boarders living in the family home.

In the cases of illness or injury, or where care arrangements break down, a dependant may also be someone who reasonably relies on the employee for assistance. This may be where the employee is the primary carer or is the only person who can help in an emergency; for example, an aunt who lives nearby who the employee looks after outside work, falls ill unexpectedly.

Employees are not entitled to use this scheme to look after a sick child or other dependant or to attend pre-planned medical appointments with them. The right is intended to cover genuine emergencies, and there is no limit on the number of times an employee can request time off.

If called away from work, time will be credited until the end of the day; if the dependant is ill or care breaks down immediately prior to commencing work, half a day will be credited. The maximum taken in any leave year should not exceed three separate days in total. Any additional days must be taken as annual, unpaid or must be purchased.

Employees do not have to complete a qualifying period in order to be able to take time off in an emergency. They are entitled to this right from day one of starting their job.

The right enables employees to take action which is necessary to deal with an unexpected or sudden problem concerning a dependant and make any necessary longer term arrangements. The emergency would need to occur during the working day or immediately prior to commencing work.

Examples include:

- If a dependant falls ill, or has been injured or assaulted;
- An emergency situation when a dependant is having a baby. (This does not include taking time off after the birth to care for the child);
- To make longer term care arrangements for a dependant who is ill or injured;
- To deal with a death of a dependant;
- To deal with an unexpected disruption or breakdown of care arrangements for a dependant;
- To deal with an unexpected incident involving the employee's child during school hours.

When you are called away from work because your dependant falls ill you will be credited for the remainder of the day

- When your dependant falls ill immediately prior to you attending work that day you will be credited for the time needed in the morning period to enable you to make alternative care arrangements. Time off in the afternoon (or for the second half of your shift) should be taken as either, annual, unpaid or flexi where you are caring for the dependant.
- When your care arrangements break down immediately prior to you attending work you will be credited for the morning period to enable you to make alternative care arrangements. Time off in the afternoon (or for the second half of your shift) must be taken as either annual, unpaid or flexi where you are caring for the dependant.

In the event that Emergency Time off Leave is not applicable, other types of leave are available. These include annual leave, unpaid leave (which can be

paid for by spreading over the employees leave year, flexi leave, parental leave, or TOIL (Time off in Lieu).

Employees must notify their immediate manager or section head by telephone, as soon as practicable, the reason for their absence and how long they expect to be away from work. The relevant form should be completed and signed by both the employee and the relevant Head of Service in consultation with Human Resources, immediately on return to work.

If there is any uncertainty regarding whether or not the time off should be granted, the Head of Service should contact Human Resources prior to any agreement being made.

Applications for compassionate leave will be monitored by the employee's Head of Service and in consultation with Human Resources.

2.15 Extenuating Circumstances

If there are extenuating circumstances for an individual employee, the Head of Service, with approval from the Human Resources Manager, may grant further unpaid time off to employees in respect of family matters.

2.16 Suspension

During periods of suspension, an employee must make themselves available to facilitate investigatory meetings, however, should they wish to be unavailable they must book annual leave in the normal way, which is then deducted from their leave card.

3. Annual Leave and Sickness Absence

3.1 Employee absence due to sickness

Employees will continue to accrue annual leave and bank holiday entitlement during a period of sickness absence.

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.

Should the employee be terminated on the grounds of ill health capability or ill health retirement then any outstanding leave will be paid in full.

3.2 Sickness during period of annual leave

If an employee falls ill during a period of annual leave they may be entitled to have some or all of their annual leave/bank holiday reinstated if they provide a doctor's 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.

4. Long Service Award

The Council has a locally agreed scheme to recognise long serving employees by making an award after twenty-five years continuous service with this Council or its former constituents (or transfer under an agency agreement).

Employees receive an inscribed certificate and may choose whether or not this award is formally presented to them by the Council.

4.1 25 year award

The employee can choose:

- two weeks additional paid leave; or
- a cash payment/or gifts to a value of the current allowance

4.2 Additional service beyond 25 years

Employees may choose an additional award for years beyond twenty five years continuous service.

The employee can choose:

- 3 days additional paid leave in each of the 30th, 35th and every five years of service thereafter ;

or

- a cash payment or gifts to the value of the current allowance at retirement.

4.3 Retirement

Alternatively, employees with 25 years' service or more may choose to await their retirement and receive a long service award for this total service at that time.

Employees previously receiving a long service award would receive the additional award at their retirement.



Broxtowe
Borough
COUNCIL

PROBATION POLICY

CONTENTS

CONTENTS	1
PROBATION POLICY.....	1
1. Introduction.....	1
2. Manager's Responsibilities	1
3. Probation for internal job changes.	3
4. Considerations for Managers	3
5. Attendance Issues During the Probation Period	4
6. Dealing with Unsatisfactory Performance	4
7. Extending the Probation Period	5
8. Action in Serious Cases	5
9. Termination of Employment under the Probation Period	5
10. Temporary/Fixed Term Employees.....	6
11. Support from the Human Resources Division	6
12. Trade Union Involvement.....	6

PROBATION POLICY

1. Introduction

All new employee appointments (with the exception of Apprentices) to the Council are required to serve a probation period in order to establish their suitability for the post.

Information on the probation period will be discussed at the interview and confirmed in their contract of employment.

Employees have a contractual responsibility to achieve a satisfactory level of performance by undertaking all appropriate training opportunities offered to them and following reasonable management instructions.

Employees who transfer within local government service will also be required to serve a probation period. They will however, remain entitled to have their previous service recognised for annual leave, sickness, maternity, adoption, redundancy, etc, purposes.

2. Manager's Responsibilities

Managers are responsible for setting realistic and achievable standards and making sure employees understand what is required. Standards should be capable of being measured in terms of quality, quantity, time and cost. Any shortfall in performance should be pointed out to the employee concerned promptly, and consideration given as to whether this is due to inadequate instruction, training, supervision or some other failing.

Managers are required to:

- Ensure that new recruits are clear about the job role and duties required.
- Ensure that new recruits are clear are what their job description covers.
- Ensure the employee undertakes the appropriate corporate training activities required of the post.
- Prepare an individual six-month training and development programme to minimise the risk of unsatisfactory performance by the new employee.
- Discuss and explain with the employee on their commencement:

- (i) *the standards of work required* – the employee should be left in no doubt what it is that is expected of them in terms of work required and the importance of meeting deadlines.
- (ii) *the conditions of the probation period* – that it is normally for a period of six months, however, the length could potentially be shortened (i.e. early termination) or lengthened, dependant upon the review process and notice periods.
- (iii) *the consequences of failure to meet the necessary standards* – i.e. termination of the contract or redeployment to another suitable available role.

Note: special attention should be given to ensuring standards are understood by employees whose first language may not be English and by young people with little experience of working life.

- Undertake reviews and assessments with the new employee covering all areas detailed on the Employee Assessment Form – Probation Period (PP1) on a monthly basis and if appropriate:
 - (iv) clearly identify the need for improvement in particular areas;
 - (v) explain to the employee the improvement that is required, the support that will be given and when and how performance will be reviewed;
- Hold formal review meetings with the employee as a minimum at the end of each month. The main areas discussed and dates of meetings should be recorded on Probation Period – Record of Meetings (form PP2). The Employee Assessment form (PP1) should be used throughout the probation period by the manager, to ensure key issues are undertaken. In addition the Corporate Training Chart (form PP3) identifying key training activities required during the probation period must also be completed. (See Guidance for Managers on the Completion of Key Activities and Form PP3).
- Managers should have identified specific job related training. This should be highlighted in the Probationer’s Job Related Development Form (PP4)
- Completed copies of both the Employee Assessment Form (PP1) and Corporate Training Chart (PP3) should be sent to Human Resources following reviews at the one, three and six month stage. Probation periods will not be signed off as completed unless all action and training has been undertaken

- Consult with and seek the support of the Human Resources Division to ensure that they are made aware of any ongoing issues. If employees are failing to meet the necessary requirements, HR must be informed at the earliest opportunity.

3. Probation for internal job changes.

Where an employee applies for and gains, either an alternative position or promotion within the organisation, the same principles apply and a probation period will be attached to their new post. This also applies to employees who have been redeployed; or who gain a permanent position after being employed in a temporary/fixed term capacity or whose role, responsibilities or grade have changed as a result of a restructure/reorganisation.

Any employee undertaking a trial period as part of a redeployment process will have the length of the trial deducted from their six month probation if successfully redeployed.

Where an established employee is promoted, redeployed or re-designated to a new position under a restructure and issues of performance arise during the probation period, it may then be appropriate to consider the matter in accordance with either the Council's Capability Policy or Disciplinary Procedure.

Internally promoted employees who are unsuccessful in their probation period are at risk of dismissal or redeployment and will not be able to revert back to their previous role before the promotion, unless on a Secondment, Development Opportunity or Apprentice training.

4. Considerations for Managers

Any assessment criteria that a manager uses during a probation period must be non-discriminatory and should be applied irrespective of racial group, sex, marital status, disability, sexual orientation or religion or belief, and must be relevant to the requirements of the job. Managers should be aware of the dangers of stereotyping and making assumptions based on inadequate knowledge.

When reviewing an employee during their probation period, managers must consider whether, if there are concerns about the employee's performance, this relates to negligence or lack of ability. Negligence usually involves a measure of personal blame arising, for example, from lack of motivation or inattention.

Lack of ability on the other hand is due to lack of skill, experience or knowledge, and may point to poor recruitment procedures or inadequate training. The manager must then make a decision as to the most appropriate

form of support for the employee and communicate this to them, giving them the opportunity to improve.

The Employee Assessment Form (PP1) asks managers to confirm at each monthly review whether there are any issues or concerns which may affect successful completion of the probation period. Any concerns should be discussed with the HR Department at the earliest opportunity to ensure that adequate support can be provided prior to any formal decision being made with regard to confirming, extending or recommending termination of a probationer's employment.

5. Attendance Issues During the Probation Period

Managers have a responsibility during an employee's probation period, to monitor the attendance of the employee and any absences which may occur, i.e. sickness absence. Whilst all sickness absences will be recorded in accordance with the Council's Attendance Management procedure and return to work interviews undertaken by the manager with the employee, the impact on the service must be considered and if appropriate, concern raised with the individual, giving direction and encouragement to improve.

Poor attendance may result in dismissal. Sickness during the probation period will be included in any rolling year sickness calculations.

6. Dealing with Unsatisfactory Performance

In all cases the cause of unsatisfactory performance should be investigated with the employee. The following guidelines will help to identify the cause and assist in ensuring that appropriate action is taken:

- ask the employee for an explanation and check the reason given if possible;
- if the reason is lack of necessary skills then ensure the employee is provided with the relevant training and the time to reach the required standard within the probation period;
- issue an agreed improvement plan if appropriate and discuss this with the employee to encourage them to reach the required standard;
- if, despite encouragement and assistance, the required standard cannot be reached, then the manager must carefully consider whether the employee has reached the required standard expected of them in order to be transferred to the permanent establishment of the Council.

Note: An employee should not normally be dismissed because of unsatisfactory performance unless warnings and a chance to improve have been given.

7. Extending the Probation Period

Managers have the option to extend an employee's standard probation period up to a maximum of a further six months (12 months in total). However, any decision to do this should be taken after careful consideration and with discussions and advice from HR of all the reasons for the potential extension and whether sufficient guidance and support have already been given to the employee.

8. Action in Serious Cases

Where an employee commits a single error and the actual or potential consequences of that error are, or could be extremely serious, warnings and the opportunity to improve may not then be appropriate. In these circumstances it is appropriate to review the matter under the Council's Disciplinary Policy.

Where a probationer is dismissed for a reason related to a disciplinary matter they will be given a right of appeal to the relevant Chief Officer.

9. Termination of Employment under the Probation Period

If an employee is unable to achieve a satisfactory level of performance even after being given an opportunity to improve and with training assistance if required, the availability of suitable alternative work should be considered. If such work is not available the situation should be carefully explained to the employee before informing them that their employment will be terminating at the end of the probation period. The employee must be formally invited to a meeting with the relevant Head of Service and be given the opportunity to be accompanied by a trade union representative or work colleague. It should be made clear that the decision may be taken not to confirm the individual on to the Council's establishment and the employment terminated.

In these circumstances, managers must ensure that their processes have been reasonable and fair and that the employee has been communicated with throughout the probation period and been given every opportunity in which to perform to the required standard.

The relevant Head of Service will be responsible for terminating an employee's contract under this policy.

The employee should be offered a right of appeal against the termination to the relevant Chief Officer.

10. Temporary/Fixed Term Employees

Any employee who is appointed in either a temporary or fixed term capacity to the Council must still be given the appropriate training and support by the relevant manager to ensure that their work is of the required standard throughout the period of their contract. The manager must review and monitor the employee in the same way as an employee who is undertaking a probation period. The HR Division will write to employees confirming that their probation period is complete.

Where a temporary/fixed term employee gains an alternative permanent position, a probation period will then be attached to that post.

11. Support from the Human Resources Division

The Human Resources Division will monitor managers' responsibilities during an employee's probation period. The HR Division are able to provide comprehensive advice, support and guidance at all stages. The HR Division will also write to employees who have successfully completed their probation period, transferring them to the Council's establishment.

12. Trade Union Involvement

During the probation period, both informal and formal meetings will occur between a manager and the probationer to ensure that the requirements of the training programme are being met. Union involvement would not normally be expected to be required at these times. However, where a manager has serious concerns about the employee's ability, skills or knowledge and they believe it may be appropriate for a probation period to be either extended or not confirmed, the employee should be given the opportunity to have either a union representative or a work colleague present at any further review meetings.



Broxtowe
Borough
COUNCIL

REDEPLOYMENT POLICY AND PROCEDURE

CONTENTS

REDEPLOYMENT POLICY AND PROCEDURE	1
1. Introduction.....	1
2. Scope	1
3. Principles.....	1
4. Main Categories of Redeployment	2
4.1 Redeployment for Potentially Redundant Employees.....	2
4.2 Redeployment for Medical Reasons	2
4.3 Redeployment for Reasons of Harassment/Bullying.....	2
4.4 Redeployment for Reasons in Incapability	2
4.5 Redeployment for Personal Reasons	2
5. Procedure.....	2
5.1 Consultation Process	2
5.2 Consideration of Suitable Vacancies	3
6. Trial Period.....	4
7. Protection of Earnings	4
Appendix 1	6

REDEPLOYMENT POLICY AND PROCEDURE

1. Introduction

The following sets out the Council's policy on redeployment for all employees and gives guidelines on the procedure to be followed in considering and applying redeployment within the Council.

Redeployment can be described as the transfer of an employee to an alternative job within the organisation. A clear framework setting out agreed principles, incorporating fairness and consistency is essential.

2. Scope

Redeployment should be considered:

- For an employee who is unable to continue in or return to their post for health reasons;
- For an employee unable to continue in their post for other reasons (e.g. incapability, change in personal commitments/circumstances, issues relating to bullying/harassment, etc).
- As a means of avoiding or mitigating a redundancy situation.

The council should ensure that redeployment possibilities are fully explored in all such situations prior to any decision to terminate employment.

It is in the Council's interest to seek to retain the benefit of an employee's skills and experience where possible and to continue to gain from any training investment, etc. It is however, important to balance the needs of the employee with the needs of the organisation.

Under employment law, the Council is required to demonstrate that it has fully explored redeployment in all dismissal cases other than discipline. Failure to do so could result in a claim for unfair dismissal being justified against the Council.

Where the associated costs of redeployment could significantly affect a placement being made, consultation between HR and the relevant Head of Service must be held, prior to any decision being taken.

3. Principles

HR has responsibility for the development and implementation of the policy and procedure, together with the overall co-ordination and management of the process. It is also responsible for providing advice and support to both managers and individuals in this regard.

Managers and supervisors have the main responsibility for ensuring that redeployment is considered in all appropriate circumstances. Managers have a key role in ensuring the employee is fully supported and regularly updated during the redeployment process.

Employees are expected to understand the policy and comply with the procedure, and to be realistic about the job or other options.

4. Main Categories of Redeployment

4.1 Redeployment for Potentially Redundant Employees

In circumstances where the Council's need for a particular post reduces, redeployment must be considered to prevent redundancy arising.

4.2 Redeployment for Medical Reasons

Redeployment should be considered when Occupational Health has advised the individual unfit for the full substantive duties of their post.

4.3 Redeployment for Reasons of Harassment/Bullying

Following the conclusion of an Anti-Bullying and Harassment hearing the Deciding Officer may decide to transfer one of the parties.

4.4 Redeployment for Reasons in Incapability

Following a Stage 3 Capability hearing the Deciding Officer may decide to redeploy the employee.

4.5 Redeployment for Personal Reasons

This situation may include employees who themselves request redeployment (e.g. to a less demanding job). Whilst every effort should be made to accommodate genuine difficulties being experienced by the employee, redeployment cannot be guaranteed and cases falling into the previous four categories will take precedence.

Redeployment for personal reasons can only be made once a year and multiple requests will be subject to separate discussions where other Council HR policies may be appropriate.

The above list is not exhaustive.

5. Procedure

5.1 Consultation Process

Once the need for considering redeployment has been identified, the employing manager with assistance from the HR, should start the consultation process with the employee and their trade union representative or workplace representative.

Where an employee agrees to be redeployed, the HR representative should assist the employee to complete a Skills Audit Form. The Skills Audit Form aims to provide an all-round picture of the employee and details the transferable skills/abilities, experience and knowledge the employee can offer the Council not only from their current work role, but also from their personal life. Any initial training needs should be identified.

The employee's name will be added to the Redeployment Register for a period not exceeding 26 weeks in cases of redundancy and medical reasons. Details of vacancies will be sent to the employee.

5.2 Consideration of Suitable Vacancies

No vacancies will be approved for internal or external advertisement without HR checking whether there any employees on the Redeployment Register who might be matched to suitable vacancies.

HR will actively take steps to match an employee on the Redeployment Register to suitable vacancies. A suitable vacancy is one which matches an employee's skills as detailed on their Skills Audit form and is of a similar grade (i.e. one grade higher or one grade lower). A post may still be regarded as suitable even if a period of training is necessary. Employees have 5 working days of being matching to a vacant to confirm their interest.

Having been matched to a suitable vacancy, the importing line manager and a representative from HR will meet with the employee to discuss and confirm the employee's suitability for the vacant post and what/if any training is required.

Where more than one employee has been matched against the same vacancy, interviews should be held with the manager and representative HR to assess which is best suited to the vacancy. When an employee's disability means that they are no longer able to remain in their substantive post, a reasonable adjustment may be a transfer without a competitive interview. After an employee is deemed to have the appropriate skills for the post, the line manager will arrange a trial period.

An employee has the option of rejecting an opportunity where there are valid reasons. However, they should be advised that failure to accept a reasonable redeployment offer may result in termination of their employment due to no other posts being available in cases of redundancy and medical reasons. If an employee rejects a redeployment opportunity which is considered to be appropriate, they will have one further opportunity for redeployment but only where one is available and the 26 week timescale allows.

Seeking to redeploy an employee must not unduly delay other processes under which the employee is concurrently being considered, i.e. redundancy, ill health, capability and the redeployment procedure in such circumstances would operate alongside other programmes of support.

In cases of redundancy and medical reasons, an employee may only remain on the register for a maximum of 26 weeks. The employee will be given their contractual notice at the appropriate within this period to ensure that their last day of service coincides with their last day on the register. An employee can still be redeployed up until their last day of service.

If redeployment is not achieved within 26 weeks from the date on which the employee is first placed on the Redeployment Register, then the employee would be given the appropriate notice of termination in accordance with their contract of employment. The Council would continue to look for suitable alternative posts during the notice period.

6. Trial Period

An employee will be placed in the post for a trial period of up to 8 weeks, with a minimum period of four weeks. The trial period is to enable the employee to find out about the job, its conditions and undertake any essential induction or initial training. It also allows management to make an objective assessment of the employee's suitability for the post. HR will confirm the arrangements in writing.

The progress of the trial should be reviewed regularly using the form at Appendix 1 and a formal review must be held at the end of the fourth week.

A trial period is a temporary appointment and will give no automatic entitlement to the employee being made permanent until the review period is complete and a decision made about the employee's suitability.

Following a successful trial period, the employee should be formally redeployed into the post and they will have to serve a probation period. Where an employee is successfully redeployed, the length of their trial period will be deducted from their six month probation period.

Where performance issues arise during the probation period, this will be dealt with under the Council's Capability Policy.

The redeployment should be confirmed in writing by HR and a revised contract of employment issued.

7. Protection of Earnings

If the grade of the post into which the employee is matched is lower than the employee's previous substantive grade, the full salary, allowances and benefits will be protected for a period of six months after confirmation into the post.

Where an employee reduces their working hours, their salary would be paid on a pro rata basis.

Where the remuneration is less than previously earned, there may be arrangements/schemes operated by government agencies which may make it easier for an individual to accept employment on a lower salary.

Appendix 1

Trial Period Assessment Criteria

- Has there been sufficient induction to the work place and the job?
- Has there been appropriate initial on the job training of skills and knowledge?
- Have agreed performance targets been met overall?
- What has been the employee's use of resources such as finance, people, equipment and information technology?
- What has been the employee's relationship with any internal or external customers during the trial period?
- What has the employee's relationship with other employees been like?
- What has been the employee's level of attendance at work during the trial period?
- If there have been absences or lateness, what were the reasons for these?
- Have any specific needs been met (e.g. adaptations for those with disabilities)?
- Other criteria relevant to the job.