



## ***PERSONNEL COMMITTEE***

***2.00 PM - MONDAY, 16 MAY 2016***

***COMMITTEE ROOMS 1/2 - PORT TALBOT CIVIC CENTRE***

### **PART 1**

1. To receive any declarations of interest from Members.

#### **Report of the Head of Participation**

2. Restructure of Play Team (*Pages 5 - 18*)

#### **Report of the Head of Streetcare**

3. Restructure of Trunk Road Services (*Pages 19 - 24*)

#### **Report of the Head of Service, Children and Young People Services**

4. Restructure of Team Around the Family (TAF) (*Pages 25 - 34*)

#### **Report of the Head of Commissioning and Support Services**

5. The Appointment of Foundation Apprentices within the Social Services, Health and Housing Directorate (*Pages 35 - 50*)

#### **Report of the Head of Human Resources**

6. Local Government Pay 2016 - Update (*Pages 51 - 52*)
7. Settlement Agreement (*Pages 53 - 64*)
8. BUSINESS PLAN 2016/2017 - HUMAN RESOURCES (*Pages 65 - 80*)

9. Any urgent items (whether public or exempt) at the discretion of the Chairman pursuant to Section 100B (4) (b) of the Local Government Act 1972.
10. Access to Meetings - to resolve to exclude the public for the following items pursuant to Section 100A (4) and (5) of the Local Government Act 1972 and the relevant Exempt Paragraphs of Part 4 of Schedule 12A to the above Act.

## **PART 2**

### **Private Report of the Director of Social Services**

11. Hillside Secure Children's Home (*Pages 81 - 96*)

### **Private Report of the head of Human Resources**

12. Voluntary Redundancy (VR) Scheme Update (*Pages 97 - 170*)

### **Minutes of the Meeting of Staff Council**

13. Minutes , 13/07/2015 Staff Council (*Pages 171 - 176*)
14. Minutes , 19/10/2015 Staff Council (*Pages 177 - 182*)
15. Minutes , 18/01/2016 Staff Council (*Pages 183 - 188*)

**S.Phillips**  
**Chief Executive**

**Civic Centre**  
**Port Talbot**

**Tuesday, 10 May 2016**

**Committee Membership:**

**Chairperson:** Councillor A.N.Woolcock

**Vice  
Chairperson:** Councillor S.Jones

**Members:** Councillors Mrs.R.Davies, Mrs.J.Dudley,  
Mrs.L.H.James, E.V.Latham, Ms.C.Morgans,  
S.Rahaman, P.A.Rees, A.L.Thomas,  
A.H.Thomas and Mrs.D.Jones

**Non Voting  
Member:** Councillors M.L.James, Mrs.S.Miller,  
P.D.Richards, J.Rogers and A.J.Taylor

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## NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

### Personnel Committee

16th May 2016

### Report of the Head of Participation – Chris Millis

#### Matter for Decision

#### Wards Affected:

All Wards

### Restructure of Play Team

#### Purpose of the Report

1. To seek Members' approval for the restructure of the authority's Play team.

#### Executive Summary

2. A restructure of the Authority's play team is required in order to establish clear management responsibility and to reinforce other roles and responsibilities against the team's outcomes. This report seeks Member's approval for the proposed new structure to be implemented.

## Background

3. The Play Development Team sits within the Think Family Partnership as part of Education, Leisure & Lifelong Learning (ELLL) Directorate.

In April 2014 the existing Play Co-ordinator was given additional responsibilities with the management of Team Around the Family (TAF). This saw the deletion of the Play Co-ordinator and creation of a new Play/TAF Manager role.

In October 2015, TAF were transferred to the Social Services, Health & Housing Directorate (SSHH) whilst retaining a shared manager with Play, who remained in ELLL. However, following the transfer, SSHH proposed to review the management of TAF to align it with other Children's Services teams. This review and subsequent restructure includes the proposal to delete the Play/TAF Manager post, which also impacts on the management structure for Play. The existing Play/TAF Manager has been seconded into a temporary Play Manager position.

The need to address this has also provided an opportunity to review the roles and responsibilities within the team and to refocus and restructure these to better deliver services, ensuring quality and consistency in all areas of work.

## Proposal

### Current Structure

1 x	37 hours	SCP 24-27	Senior Play Development Worker
1 x	37 hours	SCP 24-27	Play Development Worker
1 x	37 hours	SCP 20-24	Family Play Leader
3 x	30 hours	SCP 15-20	Family Play Worker

1 x	30 hours	SCP 15-20	Mobile Play Driver
1 x	30 hours	SCP 15-20	Play Support Worker

## Proposal

It is proposed that:

\* A new Play Manager post be created to have overall responsibility for the team and lead on strategic play development work, including ensuring that NPTCBC complies with its duty to assess for and secure sufficiency of play opportunities. It is proposed that the existing temporary Play Manager be assimilated into the new post.

\* The existing Senior Play Development Worker and Play Development Worker posts be deleted and two new Play Development Officer posts be created, each with a focus on Training & Participation or Family and Community. These will have an 80% match to the existing roles and the existing post holders will be assimilated into the new roles.

\* The Family Play Leader post (currently vacant) be deleted

\* An additional Family Play Worker post is created.

\* The Mobile Play Driver post is deleted.

\* A change in line management responsibility for the Play Support Worker

New structure:

1 x	37 hours	SCP 35-39*	Play Manager
1 x	37 hours	SCP 27-31*	Play Development Officer –

			Training & Participation
1 x	37 hours	SCP 27-31*	Play Development Officer – Family & Community
4 x	30 hours	SCP 20-24*	Family Play Worker
1 x	30 hours	SCP 20-24*	Play Support Worker

\* The grades of the above posts are subject to Job Evaluation and have been estimated as maximum for the post and the financial appraisal has been produced in-line with these estimates. If lower grades are returned there would no detriment to the proposal.

Current and proposed structure charts are included as Appendix One.

### **Rationale for New Structure**

Overall the new structure aims to enhance the focus on the identified Families First outcomes, improving services for children and families. The structure will clarify individual roles and responsibilities and provide greater flexibility, particularly with the Family Play Workers, to maximise the teams' resources.

The proposed re-structure of management within TAF has a knock-on effect on the play team leaving them without a manager position to lead and guide their work.

It is proposed to delete both the Senior Play Development Worker and Play Development Worker posts and create two new Play Development Officer posts. The new posts will have a clear focus of work, one on Training & Participation and another on Family & Community. The new posts more clearly align with the outcomes of the team's Families First funding and give the post holders responsibility for developing their specific areas of work to ensure that they continue to provide high quality services that meet the needs of service users, including children, young people and families.



This proposal will put the two members of staff at risk, however, as the new posts will provide an 80% match to current roles they will be assimilated into the new positions.

The Family Play Leader position is currently vacant and it is proposed that this position is deleted. The duties of the post in relation to supporting and allocating the work of the Family Play Workers will be incorporated into the role of the new Play Development Officer – Family & Community.

The Family Play Worker and Play Support Worker posts will remain largely unchanged with the inclusion of additional driving and banksman responsibilities associated with the play bus. The posts will be re-evaluated to include this.

It is proposed to delete the existing Mobile Play Driver and to share driving responsibilities across the team. This will allow the play bus to be used for greater impact, being a resource for all elements of the service.

### **Financial Impact**

The Play Team is fully funded by Welsh Government via the Families First programme with funding until 31st March 2017. All associated costs, including those of salaries and training for the additional driving duties / safety training, are contained within this funding agreement. It is anticipated that the Grant will continue post March 2017 but if there is either a reduction or deletion of the funding then the Council's Management of Change in Partnership Policy will apply to the affected employees.

A financial appraisal has been included as Appendix Two. The appraisal has been produced with anticipated maximum grades for all posts to ensure that sufficient finances are in place. If lower grades are returned there would no detriment to the proposal.

### **Equality Impact Assessment**

4. The equality implications of the proposals above have been assessed in accordance with the Equality Act 2010. The Equality Impact

Assessment (EIA) Screening Tool has determined that this proposal does not require a full Equality Impact Assessment.

### **Workforce Impacts**

A 30 day consultation with employees commenced on 21st March 2016. GMB, Unison and Unite unions were also consulted and involved throughout.

One member of staff (Mobile Play Worker) is at risk as a result of the proposal and has been put on the Prior Consideration Register from Monday 21st March 2016 to enable him to access vacancies as per the prior consideration rules.

One to one meetings were requested by one employee and these took place with the manager, HR and relevant union.

### **Legal Impacts**

5. There are no legal impacts associated with the report.

### **Risk Management**

6. There are no risk management issues associated with this report.

### **Consultation**

There is no requirement for formal consultation in respect of this proposal.

### **Recommendations**

It is recommended that Members APPROVE the new structure for the Play Team as follows:

1. A new Play Manager post be created and the existing temporary Play Manager be assimilated into this.

2. Existing Senior Play Development Worker and Play Development Worker posts are deleted and two new Play Development Officer posts are created, assimilating the existing post holders into these positions.
3. The vacant Family Play Leader post be deleted.
4. An additional Family Play Worker post be created.
5. The Mobile Play Driver post be deleted.
6. A change in line management responsibility for the Play Support Worker .

### **Reasons for Proposed Decision**

7. To provide a clear management role to lead the work of the team and to ensure that strategic development work continues to develop.

To also increase flexibility within the team, both in terms of use of the playbus and in utilising skills and capacity.

### **Implementation of Decision**

8. The decision is proposed for immediate implementation. Appendices
9. Appendix One - Financial Appraisal
10. Appendix Two - Structure Chart

### **List of Background Papers**

Equality Impact Assessment Screening Tool

### **Officer Contact**

Chris Millis Head of Participation, Telephone 01639 763226 e-mail [c.d.millis@npt.gov.uk](mailto:c.d.millis@npt.gov.uk)

Neil Thomas Participation Co-Ordinator, Telephone 01639 686376 e-mail [n.g.thomas@npt.gov.uk](mailto:n.g.thomas@npt.gov.uk)

Allison Harris, Play Manager, Telephone 01639 873002, email [a.t.harris@npt.gov.uk](mailto:a.t.harris@npt.gov.uk)

## Appendix One

### SET UP COSTS

Budget Book Page Number 1070

	Current Year	Comments
	£	
Costs		
Recruitment Costs		
Accommodation Costs		
Office Costs		
Others		
Total Set Up Costs	-	
Funding of Set Up Costs		
Revenue Budget		
Reserves		
Special Grant		

Other (Specify)

Total Funding of Set  
Up Costs

-

## RECURRING COSTS

	Current Year	Next Year	Max in Full Year
	£	£	£
Costs			
Employee Costs (Financial Appraisal Statement)	211,082	216,490	230,916
> Starting Salary			
> Additional cost at Maximum Salary			
Accommodation Running Costs			
IT Annual Costs			
Other Running Costs (specify)			

Total Recurring Costs	211,082	216,490	230,916
Funding of Recurring Costs			
External Sources			
Specific Grant:			
- staffing costs	211,082	216,490	230,916
- other			
Funding from External Agencies			
Service Level Agreement			
Other (specify)			
Internal Sources			
HRA			
Existing Budget Allocation			
Additional Guideline Allocation			

Families First

Other (specify)

Total Funds Available

211,082

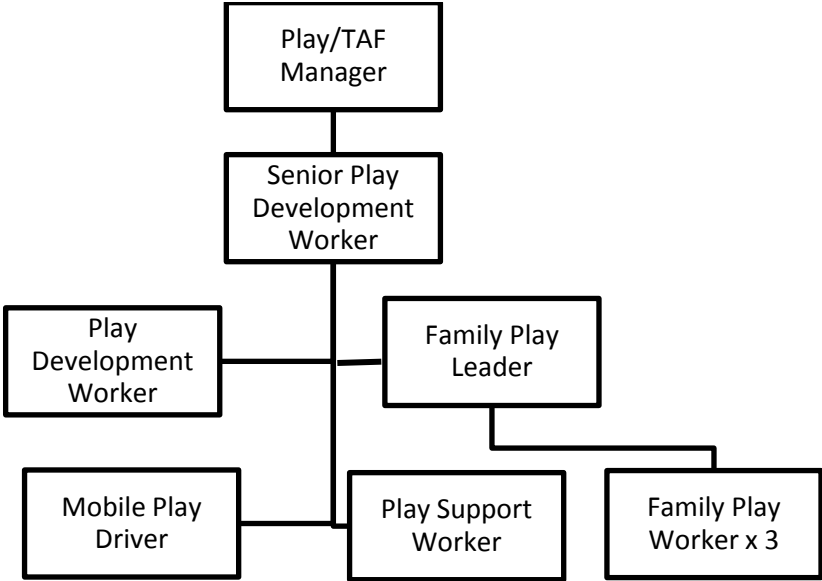
216,490

230,916

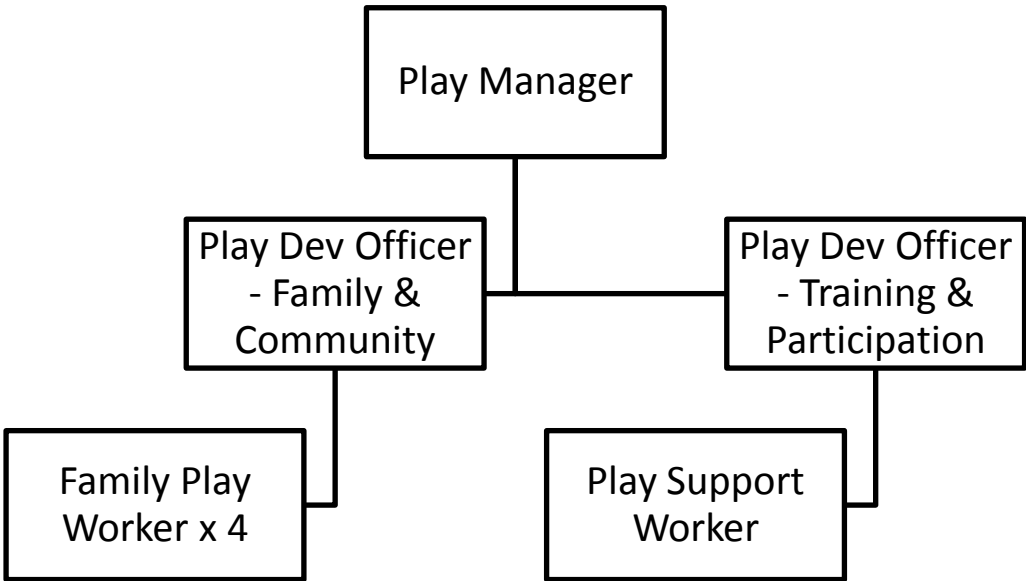


# Appendix Two

## Current structure



## Proposed Structure



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## ENVIRONMENT DIRECTORATE

### PERSONNEL COMMITTEE

Report of the Head of Streetcare – Michael Roberts

16<sup>th</sup> May 2016

#### SECTION A – MATTER FOR DECISION

**Wards Affected: All**

#### **Restructure of Trunk Road Services**

##### **1. Purpose of the Report**

To seek Members' approval to implement a revised structure within the Trunk Road Service.

##### **2. Background**

Trunk Road Services are now working under a new Service Collaboration Agreement (SCA) with the South Wales Trunk Road Agency (SWTRA). As a consequence of service development and to facilitate fulfilling the requirements of the new SCA it is necessary to make some changes within the Trunk Road Services Structure.

Merthyr Tydfil CBC recently withdrew at short notice from the partnership arrangements and Neath Port Talbot is now covering the Merthyr area as well as the RCT and Swansea areas with respect to the Motorway and Trunk Roads. In order to accommodate any shortfall in service provision (operational, supervisory and support with respect to the expanded area) it is proposed to create some new posts on the structure, to remain vacant at present, that can be filled should this prove necessary. These posts would be funded under the SWTRA agreement. In addition, the following changes are required and the Trunk Road Services Manager has undertaken the necessary consultations:

- Delete Horticultural Operative (Grade 3) and create Roadworker JE 1545 (also Grade 3)

- Delete Horticultural Ganger (Grade 5) and create a Streetcare Driving Skilled Operative HGV JE ID 2997 (also Grade 5)
- Delete Community Improvement Driving Skilled Operative (Grade 4) and create Streetcare Driving Skilled Operative JE ID 2996 (also Grade 4)
- Delete Horticultural Operative (Grade 3) and create a Streetcare driving Skilled Operative JE ID 2996 (Grade 4)
- Delete Horticultural Operative (Grade 3) and create a Streetcare Driving Skilled Operative HGV JE ID 2997 (Grade 5)
- Delete Operational Support Assistant (Grade 3) and create an Engineering Support Assistant JE ID 9157 (Grade 4)

It is also proposed that the additional posts listed below be placed on the structure to meet service provision in the Merthyr areas if required:

- Streetcare Supervisor (Grade 7) JE ID 304 1 FTE
- Skilled Ganger (Grade 5) JE ID 870 1 FTE
- Streetcare Driving Skilled Operative HGV (Grade 5) JE ID 2997 3 FTE
- Operational Support Assistant (Grade 3) JE ID 9134 1 FTE

### **3. Financial Appraisal**

The changes to existing posts have no cost implication to the Council as all costs are costed into the new Service Agreement. Furthermore, these posts will only be filled if required. There will be no cost implication to the Council given all costs would be met under the SWTRA Agreement, whilst any failure to meet the requirements of the service agreement would put arrangements with SWTRA and associated income at risk. Should the work be lost at some date in the future then all staff concerned would be subject to TUPE transfer.

**4. Revised structure**

A revised structure is provided in Appendix 1.

**5. Equality Impact Assessment**

There is no equality impacts associated with this report.

**6. Workforce Impacts**

There are no workforce impacts associated with this report.

**7. Legal Impacts**

There are no legal impacts associated with this report.

**8. Consultation**

There is no requirement under the Constitution for external consultation on this item.

**9. Recommendation**

It is recommended that Members APPROVE the implementation of a revised structure within the Trunk Road Service.

**FOR DECISION**

**Implementation of Decision**

The decision is proposed for immediate implementation.

**Appendices**

Staffing Structure – Appendix 1

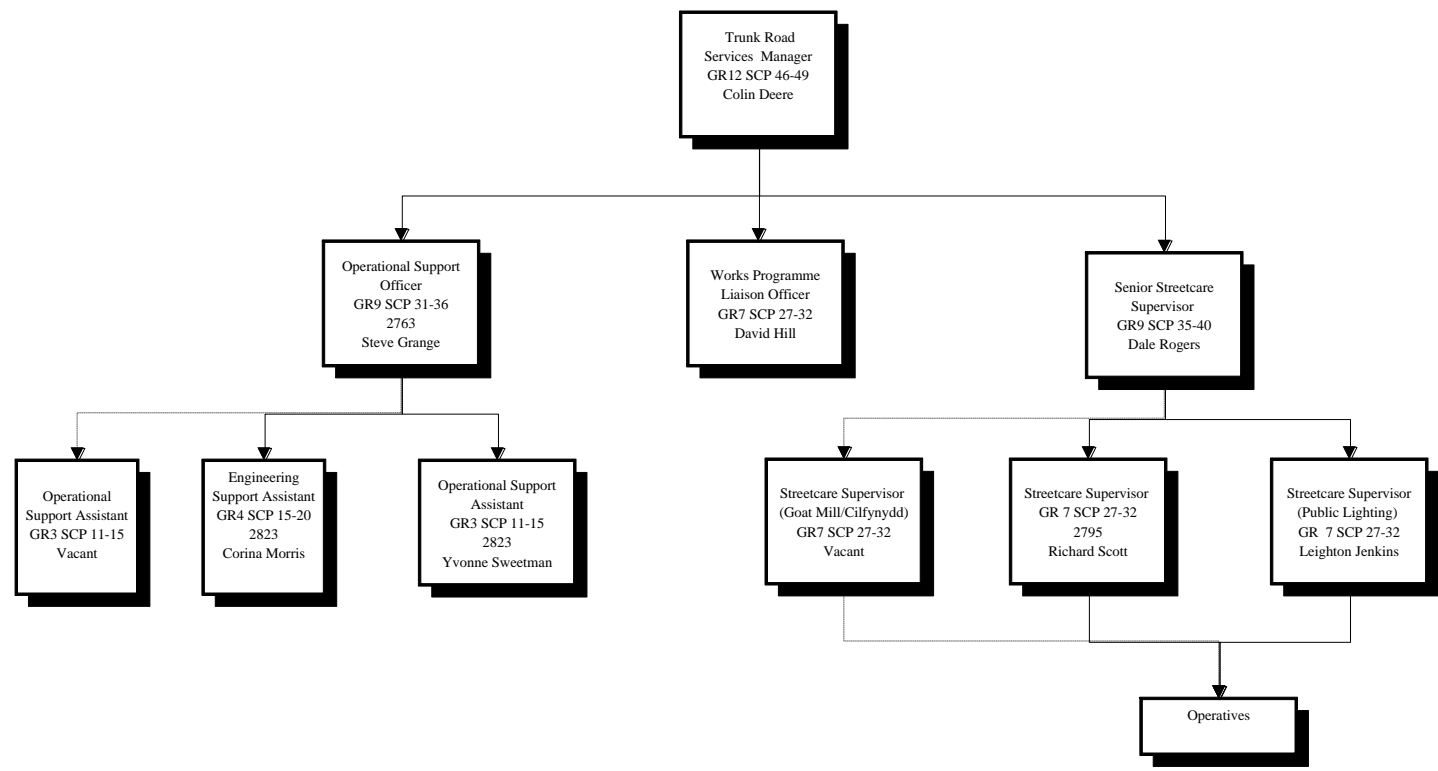
**List of Background Papers**

None

**Officer Contacts**

Mr Mike Roberts, Head of Streetcare, email: [m.roberts@npt.gov.uk](mailto:m.roberts@npt.gov.uk)  
telephone: 01639 686966

**Environment  
Streetcare - Trunk Road Services  
April 2016**



(Note: Whole structure funded by SWTRA SLA)

**Trunk Road Services**

**Streetcare Supervisor**  
Richard Scott

**Skilled Ganger**  
Vacant #  
SCP 20-25  
JE ID 870

**Skilled Ganger**  
G Thomas (202698)  
Rob Lewis (902634)  
P Thomas (905318)  
SCP 20-25  
JE ID 870

**Skilled Ganger**  
G Phillips (202645)  
K Walsh (458072)  
SCP 20-25  
JE ID 870

**Streetcare Driving Skilled  
Operative HGV**  
Vacant x 3  
SCP 20-25  
JE ID 2997

**Streetcare Driving Skilled  
Operative HGV**  
A Williams (202624)  
SCP 20-25  
JE ID 2997

**Streetcare Driving Skilled  
Operative HGV**  
P Roberts (450796)  
P Jones (202641)  
SCP 20-25  
JE ID 2997

**Streetcare Driving Skilled  
Operative (Non HGV)**  
John Roblin (935500)  
SCP 15-20  
JE ID 2996

**Streetcare Driving Skilled  
Operative (Non HGV)**  
G Roberts (902637)  
SCP 15-20  
JE ID 2996

# If team created, this post would be filled from within existing resources  
[viability of team to be reviewed in 3/6 months]

**Trunk Road Services**

Environment Directorate  
Operational Employees - Two Week!  
April 2016  
Proposed

**Streetcare Supervisor**  
Leighton Jenkins

**Streetcare Driving Skilled  
Operative HGV**  
C. Clunis (932867)  
SCP 20-25  
JE ID 2997

**Streetcare Driving Skilled  
Operative HGV**  
R Michael (929891)  
SCP 20-25  
JE ID 2997

**Electrician**  
Greg Sinott (926224)  
SCP 23-28  
JE ID 802

**Streetcare Driving Skilled  
Operative HGV**  
M Chenard (905960)  
M. Lewis (907599)  
SCP 20-25  
JE ID 2997

**Roadworker**  
Rob Jones (932869)  
SCP 11-15  
JE ID 1545

**Streetcare Driving Skilled  
Operative (Non HGV)**  
A J Williams (202644)  
SCP 15-20  
JE ID 2996

**Public Lighting Skilled  
Operative**  
A Thomas (905319) #  
Ben Whitton (942964)  
SCP 20-25  
JE ID 3291

**Streetcare Driving Skilled  
Operative (Non HGV)**  
A Cooper (939508)  
P. Bleasdale (202203)  
C. Roberts (450921)  
VACANT \*  
SCP 15-20  
JE ID 2996

[Multi-task gang]

[Multi-task gang]

[Lighting gang]

**Roadworker**  
R Sparey (939173)  
SCP 11-15  
JE ID 1545

**Seasonal Horticultural  
Operatives**  
VACANT x 2  
SCP 11-15

\* Former M Lewis post to be kept vacant pending review 3/6 months in light of new contract  
# has completed electrician qualification

[General maintenance resource pool with staff deployed  
as required]

Note: D Davies 202070 - Streetcare Driving Skilled Operative HGV redeployed to Neighbourhood Services



## NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

### Personnel Committee

16<sup>th</sup> May 2016

### Report of the Head of Service, Children and Young People Services – Andrew Jarrett

#### Matter for Decision

#### Wards Affected:

All Wards.

### Restructure of Team Around the Family (TAF)

#### Purpose of the Report

To gain approval for the creation of a social work qualified Team Manager (Grade 11) post in TAF, to replace the dual role of TAF/Play Manager.

#### Executive Summary

In order to support the closer collaboration with Children and Young People Services and emphasis on preventing children from entering the care system, it is proposed that a Team Manager post, focussing solely on TAF is established and the post of TAF/Play Manager be deleted. The budget for the TAF/Play Manager has transferred back ELLL Directorate, so in order to fund the new Team Manager post, the vacant posts of TAF Practise Supervisor and a grade 5 post would be deleted.

#### Background

Team Around the Family (TAF) is a grant funded service for families who wish to make positive changes to family life, but need support to do this. The aim of

the service is to enable families to return to supporting themselves within their own community networks. TAF can pull together the right people to plan and deliver a package of support. This involves:

- Working with the family to look at the positive changes that they would like to make
- agreeing an action plan
- helping them to feel more confident so that they can maintain these changes going forward
- signposting them to other support services that might also help them work on their plan
- making them feel comfortable about using the TAF service again if they need to

Although a fairly new team, legislative changes (Social Services and Wellbeing Act 2014) now mean that a new approach is required to ensure the Authority is fulfilling its obligations under the Act. This includes closer collaboration with Children's Services and a need to focus on families on the edge of care.

## **Proposal**

Currently the structure of the TAF team is as follows (FTE):

- 1 – TAF/Play Manager, Grade 9
- 1 – Senior TAF Co-ordinator, Grade 8
- 1.81 – TAF Co-ordinators, Grade 7
- 2 – TAF Practice Supervisor/Social Worker, Grade 9
- 10.74 – Family Workers, Grade 7
- 1 – TAF Administrator, Grade 3
- 1 – Grade 5 worker

In order to support the closer collaboration with Children's Services and emphasis on preventing children from entering the care system, it is proposed that a Team Manager post, focussing solely on TAF is established and the post of TAF/Play Manager be deleted. The duties will be the same as other

Team Manager roles in Children's Services (Grade 11). The post will require a social work qualification and the occupant will be required to work closely with senior management to effect change.

Furthermore it is proposed that the role of TAF practice supervisor be deleted (this is currently vacant) as this expertise would reside within the Team Manager role. In order to fund the higher grade another vacant post which is grade 5 would also be deleted.

Families First funding is also currently being used to fund an additional Social Worker post in the Intake Team to support the creation of the Single Point of Contact; this role would remain.

The new structure would therefore be as follows:

- 1 – Team Manager, Grade 11
- 1 – Senior TAF Co-ordinator, Grade 8
- 1.81 – TAF Co-ordinators, Grade 7
- 10.74 - Family Workers, Grade 7
- 1 – TAF Administrator, Grade 3
- 1 – Social Worker, Grade 9 (Single Point of Contact)

The benefits of creating a dedicated TAF Team Manager post would be:

- A closer alignment of TAF to Children's Services
- The early identification of child protection issues
- More effective early intervention and prevention
- A consistent approach to safeguarding and other issues

### **Financial Impact**

As two posts will be deleted, the creation of the Team Manager Grade 11 post would not incur extra costs. The funding for the current TAF/Play Manager post will be transferred to the Play budget to fund a Play Manager post in that section.

The requirement for a social work qualification in the role of Team Manager has been identified and this role is currently being occupied by an agency team manager. The post holder who previously occupied the TAF/Play Manager post has been seconded to the post of temporary Play Manager in the ELLL Directorate after full consultation. The creation of the permanent Team Manager post would therefore reduce agency costs to the Authority.

### **Equality Impact Assessment**

An Equality Impact Assessment (EIA) screening form has been completed and a full EIA is not required. The proposals will have a positive effect on all Service users irrespective of their background as the Service will support the aims of the new Act. The changes affect one member of staff.

### **Workforce Impacts**

There are implications for the current post-holder of the TAF/Play Manager post, as the new role would require a social work qualification which the current post-holder does not possess. As a result of this, the current post-holder has been informed and consulted with over a 30 day consultation period which ended on 8<sup>th</sup> March 2016.

As described above, the current post-holder is presently seconded to the position of Temporary Play Manager and is likely to be assimilated into a post in the new Play structure which is also due to be presented to Personnel Committee on 16th May. It is therefore unlikely that the above proposal will result in a redundancy situation for this employee and resultant redundancy costs for the Authority.

## **Legal Impacts**

There are no known legal impacts.

## **Risk Management**

If the changes were not to be made there would be a risk of non-compliance with the legislation. There would also be a risk that child protection issues would be missed which would increase the workload going to Children's Services. The early intervention and prevention mechanisms may also prove less effective.

## **Consultation**

There is no requirement under the Constitution for external consultation on this item.

The proposal has been discussed with the Think Family Partnership Board and approved.

## **Recommendations**

That the new structure for Team Around the Family is approved. This involves the creation of a social work qualified Team Manager (Grade 11) post and the deletion of the following posts - TAF/Play Manager (Grade 9), TAF Practise Supervisor (Grade 9) and a TAF worker post (Grade 5).

## **FOR DECISION.**

### **Reasons for Proposed Decision**

The creation of a social work qualified Team Manager post would bring TAF in line with Children's Services. It would enable the team to focus on children at the edge of care and would help ensure the Authority fulfils its obligations under the new Act.

### **Implementation of Decision**

The decision is proposed for immediate implementation.

## **Appendices**

Financial Appraisal

## **List of Background Papers**

Equality Impact Assessment Screening Form

## **Officer Contact**

Andrew Jarrett, Head of Children and Young People Services

Telephone: 01639 763327

Email: [a.jarrett@npt.gov.uk](mailto:a.jarrett@npt.gov.uk)

FINANCIAL APPRAISAL

APPENDIX

POST/ POSTHOLDER	PROPOSED CHANGE (New Post/Delete/Regrade etc)	PAY SCALES		ANNUAL COSTS	
		Current	Proposed	2016-17	Maximum
Practice Supervisor	Delete 1 x Grade 9 fte	sp 35 to 39	-	46,002	46,002
Front Door Worker	Delete 1 x Grade 5 fte	sp 20 to 24	-	25,391	25,391
Team Manager	Create 1 Grade 11 fte	-	sp 43 to 46	54,854	54,854
			Total	- 16,539	- 16,539

## FUNDING STATEMENT FOR PERSONNEL COMMITTEE REPORT

### SET UP COSTS

	<u>This Year</u>
	<u>£</u>
<b><u>Costs</u></b>	
Recruitment Costs	-
Accommodation Costs	-
Office Costs	-
Others	-
<b>Total Set Up Costs</b>	<u>-</u>
<b><u>Funding of Set Up Costs</u></b>	
Revenue Budget	
Reserves	
Special Grant	
Other (Specify)	
<b>Total Funding of Set Up Costs</b>	<u>-</u>

### RECURRING COSTS

	<u>2016-17</u>	<u>At Max</u>
	<u>£</u>	<u>£</u>
<b><u>Costs</u></b>		
Employee Costs (Financial Appraisal Statement)	-	-
> Starting Salary	54,854	54,854
> Additional cost at Maximum Salary		
Accommodation Running Costs		-
IT Annual Costs		-
Other Running Costs (mobile phone & travel)	600	600
<b>Total Recurring Costs</b>	<u>55,454</u>	<u>55,454</u>
<b><u>Funding of Recurring Costs</u></b>		
<b><u>External Sources</u></b>		
Specific Grant:		
- staffing costs		
- other		
Funding from External Agencies		
Service Level Agreement		
Other (specify)		
<b><u>Internal Sources</u></b>		
HRA		
Existing Budget Allocation	55,454	55,454
Additional Guideline Allocation		
Other (specify)		
<b>Total Funding Available</b>	<u>55,454</u>	<u>55,454</u>



# **FUNDING STATEMENT FOR PERSONNEL COMMITTEE REPORT**

## **Comments**

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## NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

### PERSONNEL COMMITTEE

16<sup>th</sup> May 2016

#### Report of the Head of Commissioning and Support Services – A. Thomas

#### Matter for Monitoring

Wards Affected: All

#### The Appointment of Foundation Apprentices within the Social Services, Health and Housing Directorate

#### Purpose of the Report

1. To provide information to Members in relation to the Foundation Apprentice Scheme and its adoption within Business Support Services, of the Social Services, Health and Housing Directorate.

#### Executive Summary

2. The report covers the following areas:
  - An explanation of the Foundation Apprentice Scheme
  - Details of how the scheme has been applied within the Social Services, Health and Housing Directorate.
  - Observations and comments from Line Managers and Social Services Practitioners, with regards to their experience of FA's.
  - Comments and feedback from current and previous Foundation Apprentices (FA's)

## Background

3. Business Support Services (BSS) is the administrative arm of Children and Young People Services (CYPS) and Community Care Services. The primary responsibility of BSS is the provision of a high quality administrative service to front-line social work teams, which is both adaptable to the changing needs of practitioners, whilst remaining economically sustainable.

In keeping with the Authority's 'Career Start Scheme', BSS has been a trailblazer within the Council, in its commitment to recruit Foundation Apprentices (FA).

The FA scheme is open to 16-24 year olds. Candidates are not necessarily required to have "formal" qualifications; however, they are expected to complete a literacy and numeracy test as part of the recruitment process and perhaps more importantly, they must have the drive and ambition to embrace an apprenticeship.

New appointments are given a 15 month contract, during which time; they are provided with all the necessary help and support required to complete a NVQ Level 2 in Business. FA's currently receive £3.30 per hour for the first 12 months of their contract, rising to £7.20 per hour once they have completed 12 months service.

The Scheme supports a number of the Council's Corporate Aims and Objectives, including the following: -

- "To get.....people into training, work experience and employment..." (Economic Prosperity).
- "To promote opportunities for access to quality skills development throughout the community" (Education & Lifelong Learning)
- "To establish the Council as an Employer of Choice to potential employees" (Service Quality & Improvement)

BSS has allocated a supernumerary budget of £72,500 to support the FA scheme. Savings from elsewhere within BSS have been re-directed to fund this initiative.

There are several significant benefits associated with BSS/the Local Authority's adoption of the FA scheme:

- FA's are given the opportunity to acquire a practical and respected qualification.
- FA's acquire 15 months "on the job" experience.
- FA's youthful enthusiasm can be infectious throughout the entire service.
- FA's often come with new ideas and skills, particularly with regards to I.T., that can be shared amongst colleagues.
- BSS and the Council as a whole, are setting the right example to other employers within the County Borough, with regards to giving young adults apprenticeship opportunities
- Many FA's have progressed on to acquiring substantive positions within the Authority.
- Almost all Business Support Officer (BSO) vacancies in the past 2 years or so within BSS, have been filled by individuals who have first proved themselves as FA's.
- Both the quality and quantity of work undertaken within BSS has improved in recent years, due in part to new BSO appointments (derived from the FA cohort) "hitting the ground running" and generally making a seamless transition to the more responsible role.

There are few if any negatives linked to the FA initiative. However, the scheme requires commitment to a certain level of investment, both in terms of "management time" and financial resources; however, in relative terms, neither of these are overly burdensome, particularly considering the overriding positives associated with the appointment of FA's.

## Progress

4. BSS first adopted the FA scheme in November 2013, during which time, some 32 FA's have been appointed. For many of these young adults, a FA post was their first full-time job.

It is pleasing to note that of the 32 appointments made, many have subsequently progressed to temporary or permanent substantive positions within the Authority. In fact, of the 22 individuals that have completed their apprenticeship (there are currently 10 FA's in post at present); only 4 have left the employment of the Council, whereas 18 remain; a retention rate of 78%.

Despite the obvious need to protect the anonymity of current and previous FA's, Personnel Committee may find it of interest to have sight of a selection of brief comments from Line managers and/or Practitioners, referencing how individual FA's have integrated into the role/service. These are shown in **Appendix 1**.

In addition to acquiring the views of line managers and social work practitioners, during April 2016 19 FA's completed a brief survey, noting their experiences and observations on the FA scheme. They were asked to rank four statements by selecting either 'strongly agree', 'agree', 'disagree', or 'strongly disagree'; the details of which are shown in **Appendix 2**.

## Conclusions

It is evident from the experiences of our FA's and their colleagues, that the FA scheme offers real opportunity for young people to gain the skills, experience and potential career in what can be, an extremely rewarding environment. It could also be argued that that the scheme provides FA's with an element of structure and security that, to some degree, appears to be helping them grow into responsible and conscientious young adults.

If there are any Sections within the Council, still undecided as to whether to "invest" in FA's; based on the experiences of BSS, there is relatively little to lose and so much more to be gained by fully adopting the FA scheme.

## **Financial Impact**

5. There is no financial impact. This activity is funded from within existing Social Service, Health and Housing budgets.

## **Workforce Impacts**

6. There are positive workforce impacts associated with this report as shown above.

## **Legal Impacts**

7. There are no legal implications to this report.

## **Risk Management**

8. There are no associated risks.

## **Consultation**

9. There is no requirement for consultation on this matter.

## **Recommendations**

10. That Members note the report.

## **Appendices**

11. Appendix 1 - Line Manager and Social Work Practitioner Comments.  
Appendix 2 - Foundation Apprentice Survey.

## **List of Background Papers**

15. None

## **Officer Contact**

Ian Finnemore – Business Strategy Manager  
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## APPENDIX 1

### A SELECTION OF LINE MANAGEMENT AND SOCIAL WORK PRACTITIONER COMMENTS WITH REGARDS TO WORKING WITH FOUNDATION APPRENTICES

*“Foundation Apprentices are a fantastic addition to the Business Administrative Team; they have always been willing to help, always have a ‘can do’ attitude and are willing to learn. The benefit of having FA’s is that they come to the team with freshness and their ideas are always from an objective perspective. I have always found our FA’s to be invaluable to me in my work especially when I have needed to be guided through processes that are new to me, or when I have needed something done urgently. They are an important part of the Community Care team”.* **Service Manager, Community Care Services.**

*“The Foundation Apprentices that have supported my Team have been nothing short of fabulous. Their energy and commitment has been a breath of fresh air, which has permeated throughout the entire team. Nothing has been too much trouble for them and they’ve been a real credit”.* **Team Manager, Children and Young People Services.**

*“I just want to express my views on the number of Foundation apprentices that have worked with us. I have been extremely impressed by the responsible, polite and professional manner that they have shown. They have always been helpful and quick to learn and respond promptly to any requests made”.* **Social Worker, Community Network Team.**

*“The apprentices we have worked with and trained have complimented the running of our service and have supported our development. We have seen a higher level of productivity and they have been more motivated and satisfied workforce. We are providing future skilled workers who offer a fresh prospective; they keep ahead of technology and recognise the investment in their development”.* **BSS Line Manager**

In addition to acquiring the views of line managers and social work practitioners; during April 2016, 19 FA’s completed a brief survey, noting their experiences and observations on the FA scheme.

They were asked to rank four statements by selecting either 'strongly agree', 'agree', 'disagree', or 'strongly disagree'; the details of which are recorded below:

**Statement 1: The Foundation Apprenticeship scheme is extremely rewarding.**

12 out of 19 (63.2%) strongly agreed with this statement.

7 out of 19 (36.8%) agreed with this statement.

**Statement 2: During my Apprenticeship, I received the necessary support from the Council to undertake the role.**

13 out of 19 (68.4%) strongly agreed with this statement.

6 out of 19 (31.6%) agreed with this statement.

**Statement 3 – Undertaking an Apprenticeship has helped me decide that my preferred career is to work within the Council?**

4 out of 19 (21.1%) strongly agreed with this statement.

15 out of 19 (78.9%) agreed with this statement.

**Statement 4 – I would recommend the Foundation Apprenticeship scheme to friends and family.**

15 out of 19 (78.9%) strongly agreed with this statement.

4 out of 19 (21.1%) agreed with this statement.

As part of the same survey, FA's were asked to comment on potential changes to the FA scheme. A selection of these comments are detailed below:

*"The only improvement I could suggest would be to allow Apprentices to work/sit in with a variety of different teams to gain even more experience rather than just in the team they are based"*

*"An increase with Apprenticeship pay may make the scheme seem more appealing but I understand with current budget cuts this may not be possible."*

*“I have found the Foundation Apprentice Scheme wonderful. I cannot really think of anything specifically, possibly a higher pay raise as I know that apprentices work the same hours as normal staff members”*

Finally, FA's were asked to comment on any positive aspects of the FA scheme:

*“I feel that the Foundation Apprentice scheme allows you to experience a working environment, engage with new people and gives you the opportunity to progress within the Council. The most rewarding, personally, would be the opportunities to progress your career, also to see first-hand the work and support Children's Services provide to children and young people”.*

*“The Foundation Apprenticeship Scheme has given me the substance to building a future within the council due to providing structure, punctuality and discipline”.*

*“I feel it gives you a chance to build relations with people within the Council to help you gain the experience and have a great chance of employment within the Council that you wouldn't have normally if you came from outside the Council”.*

*“I feel that the Foundation Apprenticeship scheme definitely helped me find my feet and helped me discover that I would much rather be working than in college/education. I found it very motivating to be within a working environment with many professionals, enjoying the tasks I was completing, whilst working towards a qualification. My foundation apprenticeship rewarded me with a temporary BSO position within the council; if I didn't gain an apprenticeship first then I would not have had this opportunity.”*

*“I think that the apprentice scheme is a truly marvellous thing that allows young people to gain great experience. I am still working my way through my apprenticeship as I have even managed to get a temporary job as a Business Support Officer which is wonderful. I like the fact I had an opportunity to progress if I wanted to. It has sent me in a good direction; I work in nice conditions and don't have any problem with my work loads. For myself, I have found that there are many positive outcomes that can come out of being a foundation apprentice.”*

## **Conclusions**

It is evident from the experiences of our FA's and their colleagues, that the FA scheme offers real opportunity for young people to gain the skills, experience and potential career in what can be, an extremely rewarding environment. It could also be argued that that the scheme provides FA's with an element of structure and security that, to some degree, appears to be helping them grow into responsible and conscientious young adults.

If there are any Sections within the Council, still undecided as to whether to "invest" in FA's; based on the experiences of BSS, there is relatively little to lose and so much more to be gained by fully adopting the FA scheme.

### **Financial Impact**

1. After consideration, this is not applicable.

### **Equality Impact assessment**

2. After consideration, this is not applicable.

### **Workforce Impacts**

3. After consideration, this is not applicable.

### **Legal Impacts**

4. After consideration, this is not applicable.

### **Risk Management**

9. After consideration, this is not applicable.

### **Consultation**

10. No requirement to consult.

### **Recommendations**

11. That the Panel note the content of this report.

### **Reasons for Proposed Decision**

12. Matter for monitoring. No decision required.

### **Implementation of Decision**

13. After consideration, this is not applicable.

### **Appendices**

14. None.

### **List of Background Papers**

15. None

### **Officer Contact**

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## APPENDIX 2

### FOUNDATION APPRENTICE SURVEY – APRIL 2016

#### SUMMARY OF KEY DETAILS

During April 2016 19 Foundation Apprentices completed a brief survey, noting their experiences and observations on the Foundation Apprentice Scheme. They were asked to rank four statements by selecting either 'strongly agree', 'agree', 'disagree', or 'strongly disagree'; the details of which are recorded below:

**Statement 1: The Foundation Apprenticeship Scheme is extremely rewarding.**

12 out of 19 (63.2%) strongly agreed with this statement.

7 out of 19 (36.8%) agreed with this statement.

**Statement 2: During my Apprenticeship, I received the necessary support from the Council to undertake the role.**

13 out of 19 (68.4%) strongly agreed with this statement.

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**Statement 3 – Undertaking an Apprenticeship has helped me decide that my preferred career is to work within the Council?**

4 out of 19 (21.1%) strongly agreed with this statement.

15 out of 19 (78.9%) agreed with this statement.

**Statement 4 – I would recommend the Foundation Apprentice Scheme to friends and family.**

15 out of 19 (78.9%) strongly agreed with this statement.

4 out of 19 (21.1%) agreed with this statement.

As part of the same survey, Foundation Apprentices were asked to comment on potential changes to the Foundation Apprenticeship Scheme. A selection of these comments are detailed below:

- *“The only improvement I could suggest would be to allow Apprentices to work/sit in with a variety of different teams to gain even more experience rather than just in the team they are based”*
- *“An increase with Apprenticeship pay may make the scheme seem more appealing but I understand with current budget cuts this may not be possible.”*
- *“I have found the Foundation Apprenticeship Scheme wonderful. I cannot really think of anything specifically, possibly a higher pay raise as I know that apprentices work the same hours as normal staff members”*

Finally, Foundation Apprentices were asked to comment on any positive aspects of the Foundation Apprenticeship Scheme:

- *“I feel that the Foundation Apprenticeship scheme allows you to experience a working environment, engage with new people and gives you the opportunity to progress within the Council. The most rewarding, personally, would be the opportunities to progress your career, also to see first-hand the work and support Children’s Services provide to children and young people”.*
- *“The Foundation Apprenticeship Scheme has given me the substance to building a future within the council due to providing structure, punctuality and discipline”.*
- *“I feel it gives you a chance to build relations with people within the Council to help you gain the experience and have a great chance of employment within the Council that you wouldn’t have normally if you came from outside the Council”.*
- *“I feel that the Foundation Apprenticeship scheme definitely helped me find my feet and helped me discover that I would much rather be working than in college/education. I found it*



*very motivating to be within a working environment with many professionals, enjoying the tasks I was completing, whilst working towards a qualification. My foundation apprenticeship rewarded me with a temporary BSO position within the council; if I didn't gain an apprenticeship first then I would not have had this opportunity."*

- *"I think that the apprentice scheme is a truly marvellous thing that allows young people to gain great experience. I am still working my way through my apprenticeship as I have even managed to get a temporary job as a Business Support Officer which is wonderful. I like the fact I had an opportunity to progress if I wanted to. It has sent me in a good direction; I work in nice conditions and don't have any problem with my work loads. For myself, I have found that there are many positive outcomes that can come out of being a foundation apprentice."*

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## NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

### PERSONNEL COMMITTEE

16<sup>th</sup> May 2016

Head of Human Resources – Sheenagh Rees

#### Matter for Information

**Wards Affected:** all wards

#### Local Government Pay 2016 - Update

##### 1. Purpose of Report

The purpose of this report is to update Members in relation to national pay negotiations for Local Government Services Pay 2016.

##### 2. Updated Position

The position at the time of writing this report is as follows:

Further to the report provided to Members at the last meeting of this committee, UNISON announced that it has **formally accepted** the Employers' two-year pay offer for 2016-18. This announcement followed a meeting held on 27<sup>th</sup> April 2016 of its Local Government Committee.

Members will recall that GMB had already accepted the pay offer.

Unite notified the Employers on 3<sup>rd</sup> May 2016 that it will not sign up to the 2 year pay offer as Unite Members had “overwhelmingly rejected the offer”, but that the union recognises the collective majority decision of the other unions and respects that the offer will now be implemented across local authorities.

The Employers side is now considering the Constitutional, legal and other implications if the Employers and UNISON / GMB issue a pay circular that does not contain Unite's signature. The

Employers have asked the Trade Union Side to formally confirm their view on this situation.

A verbal update will be provided at Committee.

**3. Recommendation**

It is **RECOMMENDED** that this report be **NOTED**.

**FOR INFORMATION.**

**4. Officer contact**

Sheenagh Rees – Head of Human Resources

[s.rees5@npt.gov.uk](mailto:s.rees5@npt.gov.uk)

Tel: 01639 763315

**5. Appendices**

None

**6. List of Background Papers**

None

## NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

### Personnel Committee

16th May 2016

### Report of the Head of Human Resources - Sheenagh Rees

#### Decision

**Wards Affected:** All Wards

#### Settlement Agreements

##### 1. Purpose of the Report

The purpose of this report is to ask Member's to provide Corporate Directors with the authority to make the necessary decisions in relation to the use of Settlement Agreements when dealing with workplace problems.

##### 2. Executive Summary

Settlement agreements are legally binding contracts which can be used to end an employment relationship on agreed terms. They can also be used to resolve an ongoing workplace dispute. These agreements can be proposed by either an employer or an employee, although it will normally be the employer.

##### 3. Background

Fairness, transparency and good workplace relations are promoted by using rules and procedures for handling performance management and disciplinary and grievance situations and as such settlement agreements should not be used as a substitute for good practice.

However, there are occasions where settlement agreements are a tool that can be used to deal with workplace problems and can be used to

help end an employment relationship in a mutually acceptable way. They usually include some form of payment to the employee by the employer and may also include an agreed reference. In return for this the employee waives his or her individual right to bring a claim covered by the agreement i.e. the right to make a claim to an employment tribunal or court.

It is not anticipated that settlement agreements will be used regularly, and indeed they should be the exception rather than the rule. However there are occasions where they can help a team move forward and provide the service with certainty through arranging for the mutual termination of an employee without any ongoing risk of litigation.

Members are asked to delegate authority to each Corporate Director, in consultation with the Director of Finance and the Head of Human Resources to make the necessary decisions in relation to offering a settlement agreement to an employee to end the employment relationship.

In making such decisions, each Corporate Director will take into account the need to fully comply with the Council's Guidance Note on Settlement Agreements (attached as Appendix 1). This includes demonstrating that the Settlement Agreement is in the best interests of the Council, and that it represents good value in terms of any financial settlement.

#### **4. Financial Impact**

The Corporate Director will have to complete a robust Business Case (see Appendix 1) before using a settlement agreement to explain the reasons why it is being used, to ensure that it constitutes good value for money for the Council, that the sum paid will withstand external scrutiny and that all matters relating to the settlement agreement are legally compliant. The Director of Finance and Corporate Services must comment on each Business Case before it is signed off.

#### **Equality Impact Assessment**

An Equality Impact Assessment Screening Form has been completed for this report and there is not a requirement to complete a full Equality Impact Assessment.

## **Workforce Impacts**

Settlement Agreements are entirely voluntary and the terms and conditions are mutually agreed and parties do not enter into them if they do not wish to do so. As a result of this, there are no workforce impacts associated with this report.

## **Legal Impacts**

The Settlement Agreement Guidance Note has been developed in line with the ACAS Code of Practice 4 - Settlement Agreements (July 2013).

## **Risk Management**

There are no risk management issues associated with this report as using a settlement agreement will protect the Council from any future litigation arising from the employee leaving the Council's employment.

## **Consultation**

There is no requirement under the Constitution for external consultation on this item.

## **Recommendations**

It is RECOMMENDED that Members

(i) Authorise each Corporate Director, in consultation with the Director of Finance and Corporate Services and the Head of Human Resources, to make the necessary decisions in relation to using a settlement agreement

(ii) Authorise each Corporate Director to implement these decisions in line with the Settlement Agreement Guidance Note and Business Case

FOR DECISION

## **Reasons for Proposed Decision**

The reason for the proposed decision is to ensure that Corporate Directors have the relevant authority to make decisions on using settlement agreements, in line with the guidance note and business case.

## **Implementation of Decision**

The decision is proposed for immediate implementation

## **Appendices**

Appendix 1 - Settlement Agreements Guidance Note (Including Business Case)

## **List of Background Papers**

Equality Impact Assessment Screening Form

## **Officer Contact**

Sheenagh Rees, Head of Human Resources

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## SETTLEMENT AGREEMENTS GUIDANCE NOTE (INCLUDING BUSINESS CASE)

### 1. Introduction

Fairness, transparency and good workplace relations are promoted by using rules and procedures for handling performance management and disciplinary and grievance situations and as such, settlement agreements should not be used as a substitute for good practice. Advice should be sought from the relevant HR Officer before consideration is given to a settlement agreement as there may be a more satisfactory way of dealing with the issue.

Settlement Agreements are, however, a tool that can be used to deal with workplace problems. They can be offered at any stage of an employment relationship and it is not necessary to go through a disciplinary process, or even start one before offering a settlement agreement.

**It should be noted that the Corporate Safeguarding Group have supported the Council's guidance in relation to managing allegations of abuse against employees who work with children and vulnerable adults. This guidance sets out that settlement agreements should not be considered as an option for an individual to exit the Council if there are any safeguarding concerns.**

Please note detailed information is available from ACAS and can be accessed [here](#).

A flowchart detailing the step by step procedure to be followed when using a settlement agreement is attached as **Appendix 2**.

### 2. Key Features of Settlement Agreements

- They are legally binding
- They can waive an individual's rights to bring a claim covered by the agreement i.e. the right to make a claim to an employment tribunal or court
- The employee usually receives some form of financial payment and may also receive a reference as part of the agreed terms
- They are entirely voluntary – the terms and conditions are mutually agreed and parties do not have to enter into them if they do not wish to do so
- They are reached through a process of discussion and negotiation - the parties do not have to accept the terms initially offered, there may be a process of negotiation
- Negotiations about settlement agreements are often confidential if handled properly and the negotiations **may not be admissible** as evidence in claims before an employment tribunal or other court proceedings (seek advice from the relevant HR Officer)

### 3. Matters for consideration before proposing a settlement agreement

- Serious consideration should be given to the reason(s) why a settlement agreement is required in the particular circumstances and if it is the best way to deal with the matter. The relevant HR Officer can provide advice on this.

- **Not all offers of settlement agreements are accepted.** It is important to consider what will happen to the employment relationship if this is the case. Depending on the reason for the settlement offer, employers should seek to tackle any underlying causes of workplace problems, eg by improving communications, training or working arrangements or by going through a performance management or disciplinary process as appropriate.
- Be clear before entering into any discussions or negotiation on the settlement agreement that there is no unlawful discrimination or victimisation involved in offering a settlement agreement in the circumstances
- Is the payment to be offered appropriate? If an amount is put forward by the employee and/or his/her trade union representative, it is important to note that a counter-offer can be made if the amount is not considered reasonable and good value for money for the Council.
- Is a reference to be provided with the settlement agreement and if so will it be a factual reference only or a more detailed reference?
- You will need to factor into the timescale of your negotiations that under the *ACAS Code of Practice 4 - Settlement Agreements* the employee must have a minimum period of **10 calendar days** to consider the proposed terms of the settlement agreement and to receive independent advice.

#### **4. Discussions with Employee**

- It is best practice to carry out settlement negotiations with an employee face to face. At the start of the meeting it is good practice to make sure that those involved are aware that any discussions about the proposed settlement agreement are expected to be inadmissible in any relevant legal proceedings (see paragraph 5 below).
- There is no statutory right to allow accompaniment at these discussions, however it is best practice to do so, this can be a work colleague or trade union representative and this companion should be allowed to play a full part in the discussion.
- Discussions should be conducted in a sensitive manner, including listening to concerns and providing informative answers to questions as there will be a greater chance of reaching a mutually agreed outcome.
- The discussion process is voluntary and either party is free to decide that they do not wish to enter into discussions or continue discussions or the process at any time.
- *The ACAS Code 4 – Settlement Agreements* provides that parties should be given a reasonable time to consider the proposed settlement agreements. As a general rule, a minimum period of 10 calendar days should be allowed to

consider the proposed written terms of a settlement agreement and to receive independent advice, unless the parties agree otherwise.

## **5. The Inadmissibility of settlement agreement discussions (S111A Employment Rights Act 1996)**

If there is an existing dispute and a genuine attempt is being made to settle it, the principle of 'without prejudice' can apply, as long as there is no unambiguous impropriety in the conduct of the parties (e.g. fraud, discrimination, threatening behaviour or intimidation) during the settlement agreement discussions. These discussions will then be inadmissible in an employment tribunal.

Where there is not an existing dispute as long as there has not been any improper behaviours in the conduct of the parties (e.g. harassment, bullying, victimisation, discrimination, or putting undue pressure on the employee), then pre-termination settlement negotiations are also likely to be inadmissible in any unfair dismissal case that may proceed.

## **6. References**

An agreed reference can be part of a settlement agreement, however those writing such references should take into account the reason for the employee leaving the Council and must provide a reference which accurately reflects this. Guidance on the provision of references is available on the HR Intranet. To ensure that officers providing references as part of a settlement agreement do not leave themselves open to challenge and withstand external scrutiny, all such references should be approved by the Head of Human Resources (or her nominated representative).

## **7. Authorisation**

- All settlement agreements are subject to a robust business case being completed Corporate Director and / or Head of Service and approved by the Corporate Director, and must satisfy all the requirements of paragraph 3 above.
- Before making a formal offer to an employee in relation to a settlement agreement, the Corporate Director / Head of Service proposing a settlement agreement must complete the Business Case (attached as Appendix 1) which should be forwarded to the Director of Finance and Corporate Services (DFCS) and the Head of Human Resources (HHR) for their comments.
- If negotiations are ongoing, any revised business case should be referred again to the DFCS and HHR for their comments as the Council has a duty to ensure that best value is obtained when spending public money, that the sums paid will withstand external scrutiny and that all matters in relation to the settlement agreement are legally compliant.
- It is only when the negotiations have reached a mutually satisfactory conclusion, comments have been provided by the DFCS and HHR and

approval has been given by the Corporate Director , can a settlement agreement be drawn up. Following this, it will be forwarded to the employee and/or his/her representative in order for the employee to seek independent legal advice. The Council will pay up to a maximum of £350 to an independent legal adviser and this cost will be borne by the employing directorate.

**PRIVATE AND CONFIDENTIAL  
BUSINESS CASE FOR SETTLEMENT AGREEMENT**

*Please note BEFORE any discussion takes place with an employee and/or trade union representative in relation to a Settlement Agreement, advice should be sought from the relevant HR Officer to ensure its legality.*

**Corporate Director/Head of Service  
(or nominated representative) proposing  
Settlement Agreement**

--

**Employee Details**

Name  
Directorate  
Job Title  
Pay Number  
Post reference number  
National Insurance number  
Date of Birth


**Corporate Director/Head of Service  
Proposing Settlement Agreement**

Name  
Designation  
Email  
Phone number


**Background and circumstances of the case**

--

**Potential Risks if a settlement agreement is not reached. NB these risks must be evidence based and not based on hypotheticals.**

--

**Details of settlement negotiations**

Date/s	Notes

**Assessment of the potential amount of the settlement *[please note that the amount must represent good value for money for the Council and if an amount is put forward by the employee or his/her representative a counter offer can be made]***

**For consideration:-**

- Length of employment
- Length of time it may take to resolve the problem if a settlement is not reached
- How difficult it will be to fill the post
- The possible liabilities and costs involved in dealing with any potential tribunal claim or court claim if a settlement is not reached

--

**Reference *[please provide details of any agreed reference here]***

--

**Comments from the Head of Human Resources (or nominated representative)**

**Signature / Date**

**Comments from the Director of Finance and Corporate Services (or nominated representative)**

**Signature / Date**

**Corporate Director Authorisation**

*[please tick]*

All the information provided in this business case is true and accurate.

The use of a settlement agreement is the best course of action for the Council in dealing with this matter and the settlement amount represents good value for money for the Council.

The comments made by the DFCS and the HHR have been duly considered

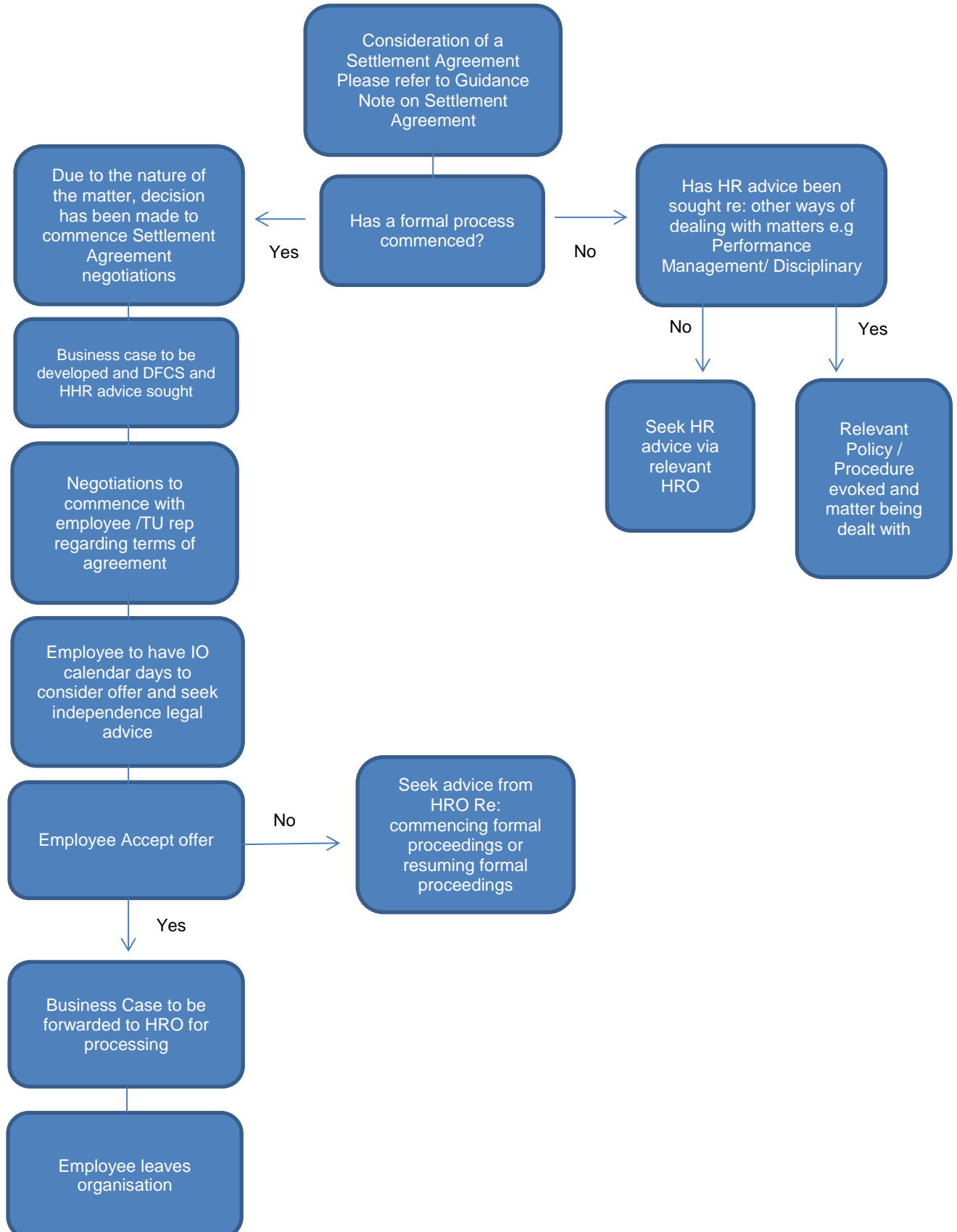
I have not made and will not make an agreement with the employee concerning re-employment by the Council in any paid capacity

I confirm that I have read the Settlement Agreement Guidance Note and have complied with its contents throughout the process

**Signature / Date**

**To be returned to the relevant HR Officer  
The Quays  
Brunel Way  
Baglan Energy Park  
Neath SA11 2GG**

SETTLEMENT AGREEMENT FLOWCHART





## NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

### PERSONNEL COMMITTEE

16<sup>th</sup> May 2016

#### Report of the Head of Human Resources – Sheenagh Rees

#### Matter for Information

#### Wards Affected: All Wards

### BUSINESS PLAN 2016/2017 – HUMAN RESOURCES

#### 1. Purpose of Report

1.1 To present the business plan for the Human Resources Division covering the period 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017 for information. The plan will be presented to the Policy and Resources Scrutiny Committee on 19<sup>th</sup> May 2016 for endorsement.

#### 2. Background

2.1 The Council introduced a revised Performance Management Framework in 2014 / 2015. One of the requirements within that framework is the production of business plans by heads of service. The timetable for finalising business plans covering the financial year 2016 / 2017 is 31<sup>st</sup> May 2016.

2.2 Following a Wales Audit Office review of the Council's performance management arrangements in 2015, the business planning arrangements for 2016 / 2017 have been strengthened by the inclusion of workforce planning and property asset management. The business planning process also now requires a clear link to be made between priorities, actions and measures.

2.2 The HR Division Business Plan appended at Appendix 1 covers the functions of:

- Human Resources
- Health & Safety
- Occupational Health Unit
- Learning, Training & Development
- Joint Resilience Unit

### **3. Monitoring, Review and Delivery**

- 3.1 The Business Plan will be reviewed with the Cabinet Member for Corporate Services on a quarterly basis.
- 3.2 The priorities within the plan are the basis of the personal objectives between the Chief Executive and Head of Human Resources. Achievement of the personal objectives will be reviewed in a mid-year appraisal meeting as part of the Council's performance appraisal arrangements.
- 3.3 Report cards will be developed by each Accountable manager which will contain detailed information on performance indicators and targets for improvement. These will be reviewed by the Head of Human Resources and respective managers on a quarterly basis to ensure that each team is on track to deliver the actions set out in the business plan.
- 3.4 All employees within the Division will have a performance appraisal which will identify appropriate personal objectives based on the business plan, to ensure the link between the priorities of the Council and each member of staff is maintained. The performance appraisal will also identify learning and development activities to support the delivery of the priority actions.

### **4. Recommendation**

It is RECOMMENDED that Members note the Human Resources Division's Business Plan for the financial year 2016 / 2017 attached at Appendix 1 to this report.

### **5. Equality impact assessment**

There is no requirement for an equality impact assessment.

### **6. Workforce impacts**

The Business Plan seeks to ensure that all employees within the HR Division have clear priorities and objectives, as part of the Council's performance management framework.

### **7. Legal impacts**

There are no legal impacts arising from this report.

## **8. Financial impacts**

The Business Plan has been developed on the basis of a reduced budget allocation to be made available to the Division for 2016 / 2017, as agreed by Council in March 2016.

## **9. Consultation**

There is no requirement under the Constitution for external consultation on this item.

## **10. Risk Management**

Please refer to Principle 5 – Risk Management contained within Appendix 1.

## **11. Appendices**

Appendix 1 – The HR Division Business Plan 2016 / 2017

## **12. Background Papers**

HR Division Business Plan 2015 / 2016

## **13. Officer Contact**

For further information on this report item, please contact Sheenagh Rees, Head of Human Resources on extension 3315 or e-mail [s.rees5@npt.gov.uk](mailto:s.rees5@npt.gov.uk)

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# HUMAN RESOURCES DIVISION BUSINESS PLAN 2016 / 2017

## INTRODUCTION

This Business Plan covers the period 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017. The services and functions with the scope of this plan are as follows:

- Human Resources
- Health & Safety
- Occupational Health Unit
- Learning, Training and Development
- Joint Resilience Unit

The Human Resources Division is a Council wide resource for the provision of specialist advice, guidance and support.

### Purpose

The purpose of the Division, in line with the Council's Operating Principles, is to deliver what matters to our customers.

### Vision

Our Vision, in line with the Council's People Strategy, is to deliver improved services, greater efficiency and better customer focus by having the right number of people in the right place with the right skills doing the right things.

### Values

Employees of the HR Division, are required to adhere to applicable codes of conduct and professional standards, which set out behaviours and values for the relevant profession.

## PRINCIPLE 1 - DELIVERY OF PRIORITIES IN 2015 / 2016

### Key achievements summary:

- Delivery of savings identified within the Council's FFP and contained overall expenditure within the cash limit set for the HR Division.
- The provision of support for significant management of change activity across the Council linked to change required as a result of FFP savings, budget pressures and to support corporate priorities. As well as providing professional expertise to managing change, the team managed the voluntary redundancy scheme, with 575 expressions of interest, and managed the redeployment of 200+ employees, who otherwise would have been made redundant. As a direct result of this activity, compulsory redundancies were minimal, despite c. 300 jobs being deleted from the established structure.
- The Sickness Taskforce rolled out the trial of the early intervention and effective communication strategy for managing long term sickness absence, with evidence based positive results.
- Implementation of an Organisational Structures Database, Head of Service Workforce Profiles and the development of a workforce planning template to support the development of a Corporate Workforce Plan in 2016 / 2017.
- The development, agreement and delivery of the Children's Services Workforce Action Plan 2015 / 2016.
- The development, agreement and implementation of a Performance Appraisal procedure for all employees.
- The development of an agreement with recognised trade unions to address 'holiday pay' case law, including settlement of potential back pay liability and avoidance of significant employment tribunal action - the first Council in Wales to reach an agreement with trade unions on this matter and ensure that legal liabilities are addressed.
- Delivery of Health and Safety Strategy in line with the OHSAS Standard 18001.
- Implementation of COSHH and Construction, Design and Management legislative changes.
- Development and delivery of the Social Care Workforce Development Programme 2015 / 2016.
- Development and delivery of comprehensive awareness training to support the implementation of the Social Services & Well-being (Wales) Act 2014.
- Development and implementation of revised HR Intranet pages to improve customer access to policies, procedures, guidance and information.

### Areas where performance was below expectation:

- The implementation of E Learning has been slow with only limited access available in 2016 as a result of delays by the deliverer, Academy Wales.

## PRINCIPLE 2 – PRIORITIES TO BE DELIVERED IN 2016 – 2017

### WHY THESE PRIORITIES?

1. To support Corporate Improvement Objectives.
2. To contribute to the FFP Savings Plan 2016 / 2017.
3. Following consultation with Senior Management Teams, to support services to meet their objectives.
4. To ensure that the Council has an appropriate, fit for purpose, safe and legal employment framework in place.
5. To ensure that the Division can continue to deliver services with a reduced workforce, despite increases in demands in some areas of service.

### HOW ARE WE GOING TO SECURE ACHIEVEMENT OF THESE PRIORITIES?

- These achievements will, in the main, be secured in-house by the HR Division's experienced and appropriately qualified staff.
- The Joint Resilience Unit is a joint service delivered in partnership with the City and County of Swansea (CCoS) and employees of the CCoS.
- The on-line DBS service is delivered through a partnership agreement with Powys Council, introduced in 2015 as part of the Division's cost savings strategy.
- Occupational Health Physician and counselling services are procured through contracts for services, which are kept under regular contract monitoring and review to ensure continued value for money and provision of quality services.

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Priority	Actions to deliver the priorities	Officer Responsible	Timescale	Evidence to indicate achievement
HRP – 1 To support the Council deliver further reductions in its net revenue expenditure in line with the Forward Financial Plan and in the spirit of the Workforce Strategy Collective Agreement 2013.	To support significant management of change initiatives through provision of expert HR advice and guidance.	D Hopkins	Over the next 12 months and beyond.	Compliance with the Management of Change in Partnership Policy.
	Maximising continuity of employment as far as is possible, through administering VR Schemes, and management of redeployment activity.	D Hopkins	Over the next 12 months and beyond.	Monitoring of Voluntary Redundancy / Compulsory Redundancy / Redeployments.
	To support the joint management / trade union review of the Workforce Strategy Collective Agreement 2013 as required under that agreement.	S Rees	31/10/16	Agreement reached with Trade Unions and report to Members by 31 <sup>st</sup> October 2016.
HRP – 2 To support Council wide targets to reduce sickness absence.	The HR Sickness Taskforce team will continue to deliver the Early Intervention and Effective Communication Long Term Sickness Strategy.	D Hopkins	31/12/16	Update reports to Policy & Resources Scrutiny Committee.
	To support the Director of ELLL to implement the Long Term Sickness Absence in Schools Project.	D Hopkins	31/8/17	Delivery of Long Terms Sickness Absence in Schools Project workforce actions.
	To implement improvements in the	S Burgess	31/3/17	Full implementation of the OuCH

Priority	Actions to deliver the priorities	Officer Responsible	Timescale	Evidence to indicate achievement
	Occupational Health referral service which will assist in reducing the impact of ill health and sickness absence and to promote a safe and healthy working environment.			Digital Referral/surveillance e-system across the Council inclusive of schools.  Implementation of the recommendations from the Privacy Impact Assessment
<b>HRP – 3</b> To support the workforce actions required to deliver the Digital by Choice Channel Strategy.	To support any resultant management of change initiatives, maximising continuity of employment as far as is possible.	D Hopkins	In line with Digital by Choice Programme Board action plan.	Compliance with the Management of Change in Partnership Policy.  Monitoring of Voluntary Redundancy / Compulsory Redundancy / Redeployments.
	Review employment policy framework to ensure that it remains fit for purpose as use of technology develops in the workplace.	D Hopkins	31/3/17	Fit for purpose policy framework
<b>HRP – 4</b> To improve customer access to services and to improve the efficiency of those services.	Update On Line Recruitment Site	D Hopkins	31/3/17	Fit for purpose Recruitment Site
	Implement OuCH Digital Referral system	S Burgess	31/3/17	Successful implementation of new system assessed against the criteria identified within clinical procedures.
	Introduction of I-DOCS framework in Occupational Health to assist the digitalisation of health records	S Burgess	31/3/17	Successful implementation assessed against a review of the OHU administration procedural arrangements.
	Implement Events Management On line system	S Burgess	31/3/17	Successful implementation of new system.
	Develop Self Service Employee Portal	D Hopkins	TBC	Sign off by Digital by Choice Programme Board.
<b>HRP – 5</b> Support the Council priority to improve outcomes for children in need and children looked after by improving the performance of the Council's Children and Young People Services Department.	Delivery of agreed HR and Learning, Training and Development workforce actions to support ongoing recruitment, retention and development of the workforce.	D Hopkins L Doyle	31/3/17	Regular employment monitoring and reporting.
	Delivery of training to prepare the social care workforce for the introduction of the Social Services and Wellbeing Act (Wales) 2014.	L Doyle	31/3/17	% of relevant social care workforce who have received appropriate training.



Priority	Actions to deliver the priorities	Officer Responsible	Timescale	Evidence to indicate achievement
<b>HRP – 6</b> Support the Council priority to raise educational standards and attainment for all young people.	Support significant management of change associated with the Strategic Schools Improvement Programme.	D Hopkins	31/3/17	Compliance with the Management of Change in Partnership Policy.
	To support the Director of ELLL to implement the Long Term Sickness Absence in Schools Project.	D Hopkins	31/8/17	Delivery of Long Terms Sickness Absence in Schools Project workforce actions.
<b>HRP – 7</b> Support the Council priority to maximise the number of adults who are able to live independently with or without support within the home of their choice within their community.	Delivery of agreed HR and Learning, Training and Development workforce actions to support ongoing change improvement, recruitment, retention and development of the workforce.	D Hopkins L Doyle	31/3/17	Regular employment monitoring and reporting.
	Delivery of training to prepare the social care workforce for the introduction of the Social Services and Wellbeing Act (Wales) 2014.	L Doyle	31/3/17	% of relevant social care workforce who have received appropriate training.
<b>HRP – 8</b> To ensure appropriate arrangements are in place to respond to new and changes to legislation.	Prepare for the Gender Pay Gap Regulations.	D Hopkins	31/3/17	Arrangements to measure gender pay gap in place.
	Ensure compliance with workforce related Welsh Language Standards	S Rees	1/9/16	HR WLS Action Plan.
	Prepare for the introduction of the National Living Wage	D Hopkins	1/4/16	Arrangements in place to ensure compliance.
	Prepare for restrictions on public sector exit payments	S Rees	1/4/16	Arrangements in place in respect of employees with annual earnings of £100,000 or more to repay exit payments if they return to work in the same sector within 12 months.  Further clarify TBC on capping of public sector exit payments.
	Preparation for the introduction of the Trade Union Bill	S Rees	TBC	Actions to be identified following government confirmation of statutory provision and how it applies in Wales.
	Review the Corporate Health & Safety legal register CF/44 and procedures in line with legal and other health and safety requirements as appropriate.	S Burgess	31/10/16	Introduction and verification from BSi on the implementation of the register.
	Implementation of training plans to prepare the workforce for the introduction of new and	L Doyle	The timeline for implementation	% of relevant workforce who have received appropriate training.

Priority	Actions to deliver the priorities	Officer Responsible	Timescale	Evidence to indicate achievement
	emerging legislation including: <ul style="list-style-type: none"> <li>• Social Services and Wellbeing Act (Wales) 2014</li> <li>• Female Genital Mutilation Act 2015</li> <li>• Domestic Violence</li> <li>• Welsh Language Standards Regulations 2015</li> <li>• Regulation &amp; Inspections Act 2015</li> </ul>		and delivery of training plans in relation to these pieces of legislation will be determined by Welsh Government timescales.	
<b>HRP – 9</b> Delivery of an effective Health and Safety Strategy in line with the OHSAS Standard 18001.	Conformity to BS OHSAS 18001 and SEQOHS.	S Burgess	31/3/17	Continued registration to the OHSAS 18001 specification Management System.
	Evaluate Legal Compliance.	S Burgess	31/3/17	As above
	Review procedures for dealing with issues raised as non-conformities to mitigate, where possible, adverse consequences.	S Burgess	31/3/17	As above
<b>HRP – 11</b> Delivery of Joint Resilience Unit work programme as agreed with Joint Resilience Committee	Delivery of Compliance with the COMAH Regulations	S Burgess	31/3/17	Development, and delivery of exercises, chairing planning group meetings, writing and managing the FAP, review and maintenance of plans and aide memoirs.
	Delivery of Business Continuity life cycle – plans	S Burgess	31/3/17	Publication of Business Continuity Plans which have been, reviewed and audited
	Delivery of localised flooding arrangements	S Burgess	31/3/17	Publication of up-to-date flooding plans which are available for the following sites:- <ul style="list-style-type: none"> <li>• Canal side</li> <li>• Lower Swansea Valley</li> <li>• Local Authorities</li> </ul>
	Delivery of City and County of Swansea’s City Evacuation	S Burgess	31/3/17	City Evacuation plans and procedures are up-to-date, validated and made available to nominated personnel.
	Implementation of Felindre emergency response plans.	S Burgess	31/3/17	Publication of Emergency Response plans in place which are subject to review and audit
	Review of DRAGON emergency response/planning system.	S Burgess	31/3/17	Development, implementation and monitoring of on-line Emergency

Priority	Actions to deliver the priorities	Officer Responsible	Timescale	Evidence to indicate achievement
				Planning and Response system.
<b>HRP – 12</b> Delivery of Employment administration services	Delivery of effective recruitment and redeployment service	D Hopkins	Ongoing commitment	Annual Audit of safe recruitment Customer feedback Redeployment data
	Employment administration services (contract administration, payroll, etc)	D Hopkins	Ongoing commitment	Customer feedback Annual Audit of payroll processing
	Maintenance of employment, training and development and occupational health and health safety records	D Hopkins S Burgess L Doyle	Ongoing commitment	Data is up-to-date and accurately recorded. Compliance with information security.

## Priority Measures Table

Priority Measures 2016/2017	2014/15 performance / activity	2015/16 performance / activity	2016/17 performance / activity
<b>Human resources</b>			
	<b>Headcount FTE</b>	<b>Headcount / FTE</b>	
Voluntary redundancy	256 / 229.79	118 / 88.83	-
Bumped redundancy	30 / 25.72	26 / 21.58	-
Redeployment	195 / 152.8	264 / 184.24	-
Compulsory Redundancy	1 / 1	50 / 18.82	<b>Reduce</b>
<b>Freedom of Information (FOI)</b>			
FOI received	40	82	-
FOI answered (less than) 20 days	33	78	<b>100%</b>
FOI answered (more than) 20 days	7	4	<b>0</b>
<b>Health &amp; Safety</b>			
Total accidents	389	405	<b>Reduce</b>
Lost time accidents	58	61	<b>Reduce</b>
RIDDOR accidents	19	18	<b>Reduce</b>
<b>Occupational Health</b>			
Average appointment waiting time	10 working days	10 working days	<b>Maintain</b>
Immunisations	207	258	<b>Maintain</b>
Pre-placement assessments	923	970	<b>Maintain</b>
Health surveillance assessments	1342	1580	<b>Maintain</b>
Attendance management consultations	2744	3303	<b>Maintain</b>
Statutory & Safety Critical Medicals	119	128	<b>Maintain</b>
Health Promotion	1185	683	<b>Maintain</b>
<b>Training &amp; Development</b>			
% of relevant social care staff provided with training ~ Social Services and Wellbeing Act (Wales) 2014. WG have identified priority groups: all Social Care Team Managers, Senior Practitioners, Consultant Social Workers and staff who have a role in the provision of Information, Advice and Assistance. This includes health employees, independent and third sector agencies.	NEW	Awareness -646 Module 1 - 160 Module 2 - 147 Module 3 - 25 Module 4 - 94	<b>100% of those identified in the priority group</b>
% of Human Resources Division staff to have successfully completed on-line Introduction to Information Governance training course	NEW	NEW	<b>100%</b>

## Mandatory Corporate Measures Table

Mandatory Corporate Measures	2014/15 performance	2015/16 performance	2016/17 performance
<b>CM01</b> transactional services:			
a) Fully web enabled	-	-	-
b) Partially web enabled	Recruitment	On line DBS Application process	Update on line recruitment site
	Eye Tests		OUCH Digital Referral system
	DRAGON Emergency Planning System		Self Service Employee Portal
			Events Management on line system
CM02 take up of the above web enabled transactions	100%	100%	To be determined by Digital by Choice Programme Board
CM03 % of revenue expenditure within budget	100%	100%	100%
CM04 % of FFP savings at risk	0	0	0
CM05 Average FTE days lost due to sickness	6.91 FTE	8.7	Below Council average – maintain
CM06 number of services measuring staff engagement	NEW	NEW	Human Resources Teams
CM07 % of staff performance appraisals to be completed by 31/3/17	NEW	NEW	100%
CM08 % of learning & development requirements identified via the performance appraisal process met within 12 months	NEW	NEW	100%
CM09 No. of employees who left due to unplanned departures	TBC	3.1 FTE	0
CM10 Total no. of complaints:			
Internal	0	1	0
External	0	1	0
CM11 Total no of compliments:			
Internal	5	7	
External	0	0	
CM12 number of services measuring customer satisfaction	0	0	2
CM13 number of service report cards to be produced by 31.03.17	NEW	5	5

Principle 3 – Workforce Planning	Prompts
<p><b>What are the key workforce challenges for this service?</b></p>	<p>The key challenge for the Division is the increasing demand for services set against the reductions in staffing which have taken place year on year since 2009, leading to a reduction of 30% in overall headcount across the Division. Put simply, the Division has less people to deliver more services.</p> <p>The Division currently has 2 vacancies at HR Officer level which it is struggling to recruit to, which has a further impact on capacity to provide services.</p>
<p><b>What are the longer term workforce challenges for this service?</b></p>	<p>Local Government Re-organisation will place significant demands on the HR Service, and it is important that the necessary skills and knowledge are in place to deal with the specific type of change management that will be required, i.e. expert knowledge and understanding of TUPE legislation and its application.</p>
<p><b>What actions are we going to take to address these challenges?</b></p>	<ol style="list-style-type: none"> <li>1. Continue the active digitalisation of services which has already supported the reduction in head count across the service (see HRP 4).</li> <li>2. Carry out a Staff Survey, prioritising teams most affected by downsizing to date (HR teams in 2016/2017).</li> <li>3. Develop actions to address Staff Survey outcomes.</li> <li>4. Through the performance appraisal process ensure all employees within the Division are focused on the priorities of the service and that skills and expertise are developed and maintained through appropriate learning and development activities.</li> <li>5. Develop a recruitment, retention and succession strategy for HR Officers.</li> <li>6. Continue to maintain and develop management of change and TUPE knowledge and skills amongst qualified HR staff.</li> </ol>

#### Principle 4 – Property Management

Services are delivered by employees based within the Quays, and accommodation is currently appropriate for the needs of the services delivered.

## Principle 5 – Risk Management

### Risk Table:

Ref	Risk Description	Likelihood Score	Impact Score	Total Score	Proximity	Mitigating Action	Target Date	Risk Owner
R1	Workforce / Succession Planning – continuous downsizing and VR rounds and a lack of external appointments is giving rise to reduced organisational capacity, increased skills shortage and inadequate succession planning	3	3	9 – M	1	Actions are as set out in Principle 3 - Workforce Planning.	31/3/17	S Rees
R2	Improvement required in Sickness Management / Absence	3	3	9 – M	1	<p>The Sickness Taskforce has funding to December 2016 to implement the Early Intervention and Effective Communication Strategy.</p> <p>Additional resource provided to implement the strategy in pilot Schools.</p> <p>Improvements to the Occupational Health Referral Service will be implemented in 2016.</p> <p>Quarterly reporting to P&amp;R Scrutiny Committee.</p>	31/3/17	S Rees
R3	Decision and service change at increased risk of legal challenge due to nature of changes and turnover in the Council's workforce	2	3	6 – M	1	<p>Provision of an up-to-date and legally compliant employment framework for managers to work within.</p> <p>Professional, qualified officers, with up to date CPD, providing expert advice to support managers remain legally compliant.</p>	On-going	S Rees

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