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TRAFFORD COUNCIL

AGENDA PAPERS FOR EMPLOYMENT COMMITTEE

Date: Monday, 11 December 2017

Time: 10.30 a.m.

Place: Committee Rooms 2 and 3, Trafford Town Hall, Talbot Road, Stretford,
M32 0TH.

AGENDA	PART I	Pages
1.	ATTENDANCES	
	To note attendances, including Officers and any apologies for absence.	
2.	MINUTES	1 - 4
	To receive and if so determined, to approve as a correct record the Minutes of the meeting held on 11 September 2017.	
3.	AGENCY SPEND	5 - 14
	To receive a report of the Interim Director of Human Resources.	
4.	EMPLOYMENT POLICY REVIEW	15 - 58
	To receive a report of the Interim Director of Human Resources.	
5.	WORKFORCE UPDATE	59 - 66
	To receive a report from the Interim Director of Human Resources.	
6.	MANDATORY UNPAID LEAVE	
	To receive a verbal update from the Interim Director of Human Resources.	
7.	SICKNESS EXEMPTIONS	
	To receive a verbal update from the Interim Director of Human Resources.	

8. URGENT BUSINESS (IF ANY)

Any other item or items which, by reason of special circumstances (to be specified), the Chairman of the meeting is of the opinion should be considered at this meeting as a matter of urgency.

THERESA GRANT
Chief Executive

Membership of the Committee

Councillors B. Rigby (Chairman), M. Cawdrey (Vice-Chairman), Mrs. P. Dixon, M. Hyman, C. Hynes, D. Jarman and J. Bennett.

Further Information

For help, advice and information about this meeting please contact:

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Public Document Pack Agenda Item 2

EMPLOYMENT COMMITTEE

11 SEPTEMBER 2017

PRESENT

Councillor B. Rigby (in the Chair).

Councillors M. Cawdrey (Vice-Chairman), Mrs. P. Dixon, J. Bennett, M. Hyman, C. Hynes and D. Jarman.

In attendance

Deborah Lucas	Acting Director of Human Resources
Dominique Adcock	Principal Solicitor (Corporate and Commercial) and Deputy Monitoring Officer.
Debbie Quinn	HR Business Partner
Alexander Murray	Democratic and Scrutiny Officer

13. MINUTES

That the Minutes of the meeting held on 10 July 2017 be approved as a correct record and signed by the Chairman.

14. AGENCY SPEND Q1

The Acting Director of Human Resources (ADHR) presented a report to the Committee. It was highlighted to Members that the overall level of agency spend had reduced by £77,741 when compared to quarter one of 2016/17. The ADHR believed that the reduction was the result of strategies taking effect. The Committee were told that two senior positions were being filled by agency staff who added a large amount of specialist knowledge and expertise. The Council had attempted to appoint staff to these positions previously without success. The Committee were informed that the Health and Safety Manager was conducting a focused piece of work which would look at the agency spend and sickness within the Children, Families and Wellbeing (CFW) directorate.

Committee Members were then given the opportunity to ask questions. The Committee requested that a manager from CFW attend the next meeting of the Committee in order to add context to the information provided. The Committee also requested that future reports contain the ratio of agency to council workers where possible. One Member of the Committee asked whether any further work was being done at a Greater Manchester level. The ADHR informed the Board that there was a piece of work being conducted around the social worker workforce.

RESOLVED:

- 1) That the report be noted,
- 2) That a manager from CFW attend the next meeting of the Committee.
- 3) That agency spend reports include agency to council staff ratios where possible.

15. WORKFORCE UPDATE

The ADHR presented a report setting out key workforce data. Specifically, she highlighted to the Committee that data had been released showing the levels of sickness within the workforces in the 10 GM local authorities. Trafford was ranked fifth out of the 10 local authorities, with sickness levels in line with the GM average of 10.5 days per employee per annum. The ADHR told the Committee that Trafford were conducting a piece of work to look at the levels of sickness and that the report of the findings would come to the Committee once completed. The ADHR committed to provide the Committee with regular Workforce Updates.

RESOLVED: That the Committee receives regular workforce updates on key data, including the level of sickness within the Council.

16. UPDATE ON GENDER PAY GAP REPORTING

The ADHR presented a report detailing the results of the work on the Gender Pay Gap within Trafford Council. The work had been done in line with the Equality Act Regulations 2017 which required relevant public sector organisations to report gender pay gap figures. As of the meeting only Poole and Doncaster Local Authorities had published their figures. Poole had shown women were paid 1.1% lower (mean) and 3.2% higher (median) than men. Doncaster had reported women were paid 15.7% lower (mean) and 21.1% lower (median) than men per hour.

Trafford figures showed that women were paid 11.1% lower (Mean) and 14.5% lower (Median) than men. The report provided further analysis of the pay gap within the workforce broken down into quartiles. When broken down in this way the gap was greatly reduced or negative. The report surmised that the overall pay gap was significantly affected by the composition of the workforce which was 76% female and 26% male. The report concluded with proposals on how the gender pay gap figures were to be reported. The ADHR added that there was an AGMA working group looking at the gender pay gap across Greater Manchester; this group was working together to ensure that the calculations behind the figures were consistent across GM.

The Committee were given the opportunity to ask questions. No queries were raised, however all Committee Members welcomed the work that was being done on the gender pay gap.

RESOLVED: That the report and plans for publishing the gender pay gap figures be noted.

17. UPDATE ON MANDATORY UNPAID LEAVE

The ADHR went through the report which had been distributed with the agenda for the meeting. The Committee were told that following the applications received for voluntary unpaid leave the number of days taken by staff were roughly the same

Employment Committee
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as the previous year. This left a gap in savings and the report detailed the different options that had been considered to bridge the gap.

In response to the options offered Committee Members stated that options which mitigated the impact of the mandatory unpaid leave on the lower pay bands would be preferable. One Member of the Committee asked whether there had been any trends identified amongst those who had opted to take voluntary unpaid leave. The ADHR answered that those who were on higher pay band were more likely to take more voluntary leave.

RESOLVED:

- 1) That the Committee support the approach towards voluntary and mandatory leave.
- 2) That the Committee note the options being considered for mandatory leave.

18. QUARTERLY REPORT ON EXEMPTIONS TO THE SICKNESS POLICY

The ADHR informed the Committee that there had been no new exemptions to the policy within the last quarter.

RESOLVED: That the update be noted.

The meeting commenced at 10.30 am and finished at 11.00 am

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TRAFFORD COUNCIL

Report to: Employment Committee
Date: 11th December 2017
Report for: Information
Report of: Deborah Lucas, Director of HR

Report Title

Agency Spend for Q2 - Period 1st July 2017 to 30th September 2017

Recommendations

That the content of this report is noted.

Relationship to Policy Framework/Corporate Priorities	These proposals align with the council's Corporate Priorities in respect to 'Low Council Tax and Value for Money' and 'Reshaping Trafford Council'.
Financial	The cost of using agency workers is carefully managed and monitored through existing budgets and budget management frameworks.
Legal Implications:	Agency assignments are carefully monitored to ensure that they are legally compliant and any employment liability is mitigated.
Equality/Diversity Implications	None
Sustainability Implications	None
Staffing/E-Government/Asset Management Implications	The use of agency workers supports critical resourcing gaps.
Risk Management Implications	See Legal Implications section.
Health & Wellbeing Implications	None
Health and Safety Implications	None

1. Background

1.1 A robust vacancy clearance process is in place that ensures that posts are only filled where there is a compelling case to do so and that where a post is filled, the aim is to match to the vacancy in the first instance in a priority sequence; employees on notice from redundancy (redeployees), "at risk" staff (those employees where there is a real risk of redundancy) and apprentices.

1.1.1 Vacancies will then be subject to approval initially by respective Directorate Management Teams and subsequently the Corporate Leadership Team (CLT), for advertisement initially to internal staff in order to minimise the number of compulsory redundancies and the incurrence of additional spend on external resources, including agency fees.

- 1.1.2 There will be circumstances whereby there are immediate resourcing needs that are predominantly short term in nature and require access to time limited and/or specialist skills that cannot be found within the organisation, or where cover is required for day-to-day absences. For these reasons, access to temporary agency support is essential to meet critical gaps in service provision as outlined below.
- 1.2.2 The breakdown of agency spend over Q2 of 2017/18 (July – September 2017) is attached at Appendix I. It should be noted that the agency costs for the quarter have been met from within existing staffing budgets, whilst services have been restructuring, reshaping and recruiting to resultant vacant posts and ensuring that statutory obligations are met on a day-to-day basis.
- 1.2.3 Appendix II provides information on the length of tenure for those assignments that were still active as at 30th September 2017.

2. Directorate Overview

2.1 Children, Families and Well-Being (CFW)

- 2.1.1 In Q2 2017/18, spend in CFW totalled £332,715 and as at 30th September 2017 there were a total of 75 active assignments across the Directorate. This is an increase from Q1 this year of 12 assignments when there were 63 active assignments however represents an overall decrease in spend of £29,624 from a Q1 spend total of £362,339.
- 2.1.2 In 2016/17 there were 58 assignments in the same period and agency spend for Q2 was £342,945 so there is an overall decrease in spend of £10,230 this year for comparison purposes. Agency workers are predominantly working in residential homes and day centres and the majority of agency spend is due to the service discharging its statutory responsibilities for providing social care services for vulnerable children and adults. The interim staffing need is primarily required to cover staffing resource gaps, created as a result of short-term staff absences or whilst recruitment to permanent posts is underway and cover is critical to ensure that service users receive the appropriate level of care and support.
- 2.1.3 Spend activity primarily relates to the procurement of interim qualified Social Workers and Adult Support workers, which represents 91% of the total spend for the Directorate. The remaining spend primarily relates to provision and support of childcare services where the Council has a statutory obligation to meet minimum staffing ratios.
- 2.1.4 In order to reduce both the need for and the cost of agency social workers and maintain continuity of service, the permanent, peripatetic team of children's

social workers continues to be in place. These experienced social workers are being deployed on short-term/time-limited placements in response to service demand and a similar model is being considered in the area of adult social work.

- 2.1.5 Moreover, the AGMA-wide adoption of standardised pay rates for children's and adults' agency social workers, which was led by Trafford Council, continues to be effective at controlling costs and the principle of a rate 'cap' has now been broadened to the North West. This collaborative arrangement avoids authorities competing for agency social workers, which previously resulted in prices being driven upwards and ensures the market is managed / controlled.

2.2 Transformation and Resources Directorate (T&R)

- 2.2.1 In Q2 2017/18, the total agency spend in TR equated to £62,730 and as at 30th September 2017, there were 11 active assignments. This is an increase from Q1 this year of 9 assignments and an overall increase in spend of £41,969. Data from the same period last year shows a decrease of 1 assignment as there were 12 active assignments and a reduction in spend of £41,331 – the overall total in the same period was £104,061. Agency spend in this Directorate is due to the need to bring in specialist skills to provide transformational, technical and consultancy support to the organisation as it reshapes; and for those interim resources required to support core services in this Directorate whilst they go through their own transformation and staffing restructures, which will support the realisation of Directorate savings.

- 2.2.2 During Q2, there has been a need to bring in additional temporary legal capacity whilst recruitment to permanent posts takes place and an interim Head of Communications and PR Officer to lead all communications and PR activities to cover a number of vacancies in the service and to support the service as it is reviewed and transforms.

2.3 Economic Growth, Environment and Infrastructure (EGEI)

- 2.3.1 In Q2 2017/18, the total agency spend in this area equated to £29,571 and as at 30th March 2017, there were 3 active assignments. This is a reduction from Q1 on this year of 2 assignments, although a slight increase in overall spend of £1,311. Data from the same period last year shows that in Q2 of 2016/17, the total agency spend in this area equated to £41,670 and as at 30th September 2016, there were 7 active assignments. There is therefore a reduction in spend of £12,099 and 4 assignments.

- 2.3.2 Spend in this area primarily relates to interim technical support roles and in the Licensing team, there has been a particular need for short term additional

support to work through changes in taxi driver license policy, the work for which is due to be completed by December when permanent resources will be in place.

3. Summary Agency Spend Position

- 3.1 The total agency spend in Q2 was £425,016 which is an increase from Q1 of £13,656, however an overall reduction of £101,337 from the same period in 2016/17.

4. Conclusion

- 4.1 Agency spend will continue to be monitored on a regular basis and regular reports will be presented to Employment Committee, for information.
- 4.2 Employment Committee is recommended to note the content of this report.

Trafford Council Agency Spend By Directorate Q2 - 2017/2018

Breakdown by Directorate (via cost and number of active assignments)

July 2017

Job Title by Directorate	Number of Active Assignments in Month	Total Cost
CFW	74	£105,381
Business Support Officer Level 2	3	£3,358
Business Support Officer Level 3	1	£1,412
Care Assistant - Residential Homes & Day Centres	22	£22,354
Childcare Worker	7	£864
Domestic	1	£452
Residential Childcare Officer	1	£128
Service Manager	1	£5,026
Social Worker Level 3	13	£46,899
Social Worker level 3a	3	£5,581
Strategic Service Manager	1	£2,784
Support Worker - Adults	8	£3,219
Support Worker Adults Physical Intervention Trained	12	£10,618
Travel Assistance Officer	1	£2,687
EGEI	3	£4,759
Business Support Officer Level 2	1	£1,372
Licencing Assistant	2	£3,387
TR	2	£3,370
Control Room Operator	1	£60
Solicitor	1	£3,310
July Total	79	£113,510

August 2017

Job Title by Directorate	Number of Active Assignments in Month	Total Cost
CFW	61	£91,845
Business Support Officer Level 2	3	£2,436
Business Support Officer Level 3	1	£1,538
Care Assistant - Residential Homes & Day Centres	17	£20,424
Career Progression Coach	1	£484
Childcare Worker	6	£547
Domestic	1	£499
Independent Reviewing Officer	1	£1,178
Residential Childcare Officer	1	£215
Service Manager	1	£5,026
Social Worker Level 3	11	£36,580
Social Worker level 3a	2	£9,529
Strategic Service Manager	1	£2,826
Support Worker - Adults	5	£2,659
Support Worker Adults Physical Intervention Trained	9	£7,214
Travel Assistance Officer	1	£690
EGEI	5	£17,090
Building Control Officer	2	£12,543
Business Support Officer Level 2	1	£361
Licencing Assistant	2	£4,186
TR	5	£25,741

Business Support Officer Level 2	1	£461
Control Room Operator	1	£477
Senior Payroll Specialist Support	1	£9,469
Solicitor	2	£15,333
August Total	71	£134,675

September 2017

Job Title by Directorate	Number of Active Assignments in Month	Total Cost
CFW	74	£135,489
Adaptations Officer	1	£800
Business Support Officer Level 2	3	£4,022
Business Support Officer Level 3	1	£3,417
Care Assistant - Residential Homes & Day Centres	20	£24,106
Career Progression Coach	1	£2,735
Chef	1	£95
Childcare Worker	2	£285
Domestic	1	£966
Domestic - Ascot House	1	£149
Independent Reviewing Officer	1	£2,834
Residential Childcare Officer	3	£743
Service Manager	2	£9,387
Social Worker Level 3	12	£45,416
Social Worker Level 3 (Hospital/EDT)	1	£1,212
Social Worker level 3a	3	£10,065
Social Worker level 3a (Hospital/EDT)	2	£3,558
Strategic Service Manager	1	£7,076
Support Worker - Adults	5	£1,517
Support Worker Adults Physical Intervention Trained	12	£14,035
Travel Assistance Officer	1	£3,070
EGEI	4	£7,722
Building Control Officer	2	£3,898
Licencing Assistant	2	£3,824
TR	9	£33,620
Business Support Officer Level 2	1	£1,910
Communications Officer	1	£4,765
Head of Communications	1	£7,198
Legal Executive	1	£2,235
Senior Payroll Specialist Support	1	£1,836
Solicitor	4	£15,675
September Total	87	£176,831
Q2 Total	237	£425,016

Trafford Council Agency Tenure by Directorate

Breakdown by Directorate showing full tenure of active assignments as at 30th Sept 2017

Directorate	Job Title	Assignment Start Date	Assignment End Date
CFW	Adaptations Officer	30/08/2017	30/11/2017
	Business Support Officer Level 2	28/01/2017	20/10/2017
	Business Support Officer Level 2	26/07/2017	01/12/2017
	Business Support Officer Level 2	04/09/2017	19/01/2018
	Business Support Officer Level 2	18/09/2017	30/11/2017
	Business Support Officer Level 3	08/05/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	29/01/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	11/02/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	01/03/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	12/03/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	25/03/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	26/03/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	31/03/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	02/05/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	28/05/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	31/05/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	17/06/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	01/07/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	01/08/2017	30/12/2017
	Care Assistant - Residential Homes & Day Centres	14/08/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	17/08/2017	29/10/2017
	Care Assistant - Residential Homes & Day Centres	18/08/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	19/08/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	03/09/2017	31/12/2017
	Care Assistant - Residential Homes & Day Centres	09/09/2017	30/12/2017
	Career Progression Coach	31/07/2017	01/12/2017
	Domestic	28/01/2017	31/12/2017
	Independent Reviewing Officer	14/08/2017	31/12/2017
	Service Manager	27/02/2017	31/12/2017
	Service Manager	04/09/2017	16/02/2018
	Social Worker Level 3	28/01/2017	01/12/2017
	Social Worker Level 3	28/01/2017	09/12/2017
	Social Worker Level 3	28/01/2017	31/12/2017
	Social Worker Level 3	28/01/2017	16/02/2018
	Social Worker Level 3	24/02/2017	23/10/2017
	Social Worker Level 3	25/03/2017	31/10/2017
	Social Worker Level 3	25/03/2017	20/11/2017
	Social Worker Level 3	25/03/2017	02/02/2018
	Social Worker Level 3	08/04/2017	08/12/2017
	Social Worker Level 3	05/06/2017	31/12/2017
Social Worker Level 3	02/09/2017	01/12/2017	
Social Worker Level 3	06/09/2017	31/12/2017	

	Social Worker Level 3 (Hospital/EDT)	28/01/2017	31/12/2017
	Social Worker Level 3 (Hospital/EDT)	23/09/2017	31/12/2017
	Social Worker level 3a	19/07/2017	31/12/2017
	Social Worker level 3a	02/09/2017	30/11/2017
	Social Worker level 3a (Hospital/EDT)	09/09/2017	08/12/2017
	Social Worker level 3a (Hospital/EDT)	15/09/2017	01/12/2017
	Strategic Service Manager	25/03/2017	31/12/2017
	Support Worker - Adults	28/01/2017	07/10/2017
	Support Worker - Adults	02/02/2017	09/12/2017
	Support Worker - Adults	12/03/2017	31/12/2017
	Support Worker - Adults	09/04/2017	09/12/2017
	Support Worker - Adults	15/04/2017	04/11/2017
	Support Worker - Adults	20/05/2017	07/10/2017
	Support Worker Adults Physical Intervention Trained	28/01/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	29/01/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	31/01/2017	07/10/2017
	Support Worker Adults Physical Intervention Trained	10/03/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	27/03/2017	07/10/2017
	Support Worker Adults Physical Intervention Trained	07/04/2017	21/10/2017
	Support Worker Adults Physical Intervention Trained	23/04/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	28/04/2017	05/12/2017
	Support Worker Adults Physical Intervention Trained	10/06/2017	21/10/2017
	Support Worker Adults Physical Intervention Trained	17/06/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	01/07/2017	30/09/2017
	Support Worker Adults Physical Intervention Trained	01/07/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	12/08/2017	31/12/2017
	Support Worker Adults Physical Intervention Trained	09/09/2017	25/11/2017
	Support Worker Adults Physical Intervention Trained	14/09/2017	25/11/2017
	Support Worker Adults Physical Intervention Trained	15/09/2017	25/11/2017
	Support Worker Adults Physical Intervention Trained	16/09/2017	02/12/2017
	Support Worker Adults Physical Intervention Trained	16/09/2017	09/12/2017
	Support Worker Adults Physical Intervention Trained	23/09/2017	09/12/2017
	Travel Assistance Officer	02/05/2017	31/03/2018
EGEI	Building Control Officer	28/01/2017	01/12/2017
	Building Control Officer	31/07/2017	30/11/2017
	Licencing Assistant	28/01/2017	30/11/2017
TR	Business Support Officer level 2	21/08/2017	22/12/2017
	Communications Officer	28/08/2017	30/11/2017
	Control Room Operator	28/01/2017	23/10/2017
	Head of Communications	14/08/2017	30/11/2017
	Legal Executive	13/09/2017	30/11/2017
	Senior Payroll Specialist Support	15/04/2017	08/12/2017
	Solicitor	15/05/2017	31/10/2017
	Solicitor	20/06/2017	31/10/2017
	Solicitor	21/08/2017	30/11/2017
	Solicitor	30/08/2017	31/03/2018
	Solicitor	05/09/2017	05/01/2018

**It should be noted that in many assignments, the agency worker will be working less hours than the full time equivalent (FTE) hours. 1 assignment does not necessarily equal 1 FTE.*

It should also be noted that there are assignments, particularly Support Worker and Care Assistant roles where, due to the ad hoc nature of the work and/or being based in various locations, an individual worker may have multiple assignments active concurrently. As an example, 5 Support Worker assignments during a given period of time may be covered by only 2 or 3 workers.

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TRAFFORD COUNCIL

Report to: Employment Committee
Date: 11th December 2017
Report for: Information
Report of: Deborah Lucas, Acting Director of HR

Report Title

Revised employee relations policies.

Recommendation(s)

It is recommended that Employment Committee notes the content of this report and approves the following revised employee relations polices: Disciplinary; Grievance, and; Dignity at Work, so they can be implemented.

Contact person for access to background papers and further information:

Name: Deborah Lucas
 Extension: x4095

Relationship to Policy Framework/Corporate Priorities	This proposal aligns with the council’s Corporate Priority ‘Reshaping Trafford Council’.
Financial	None.
Legal Implications:	The policies have all been drafted in accordance with ACAS guidelines and with relevant case law in mind. The implementation plan will ensure that employees are managed under the relevant version of the policy, whilst the new ones are transitioned in, reducing any risk of a procedural claim at employment tribunal.
Equality/Diversity Implications	EIAs will be undertaken for each policy to ensure there is no adverse effect on any group.
Sustainability Implications	None.
Staffing/E-Government/Asset Management Implications	The revised policies have more timely and simplified processes and so they should be easier for staff to understand. If staff are managed using one of the policies their experience should be improved.
Risk Management Implications	None.
Health & Wellbeing Implications	None.
Health and Safety Implications	None.

1.0 BACKGROUND

- 1.1 The current versions of the Council's key employee relations policies have been in place for a long time. Whilst minor policy amendments have been made to reflect legislative changes, there has not been a full review for a number of years. As the HR Service undergoes a process of modernisation, a key element to support this is the establishment of a suite of modern HR policies that are simple to use, with clear and easy to follow processes. Given that employee relations policies are at the heart of the smooth running and productivity of services these have been given priority. Other key employment policies are being reviewed as part of an ongoing programme of modernisation. .
- 1.2 The following policies have been reviewed as a priority and require approval by Employment Committee: Disciplinary; Grievance, and; Dignity at Work.

2.0 REVIEW PROCESS

- 2.1 For each policy, research and benchmarking with other local authorities has been undertaken to identify different approaches and best practice and the ACAS guidelines have also been taken into account. The modernised policies have been presented on this basis and the language has also been simplified to make them more accessible to all. In addition, supporting documents and template letters have been developed to support managers with their use.
- 2.2 In terms of the review process, the first draft of each policy was initially considered by the HR management team. Following on from this, the draft policies were considered by a newly formed policy review group which comprises representation from Unison and GMB and also managers from each Directorate. The group considered the revised policies and received information highlighting the key changes; the group then met to work through the key changes and had a discussion and debate regarding the processes and approach of the policies. Some changes were agreed as an outcome of these meetings and the policies were amended accordingly before being sent back to the trade unions who then agreed them at branch level. The Acting Director of HR then gave their sign off to the changes.

3.0 KEY CHANGES TO THE POLICIES

- 3.1 All of the policies have been streamlined and simplified with more use of plain English and with reduced usage of HR terminology, wherever possible, to make them easier to understand and follow.
- 3.2 They all emphasise the importance of using the informal stage of the policy as in many cases this should lead to a resolution of the issue without the need to resort to the formal stages. Using the formal stages can be difficult and time-consuming and can lead to more difficulties in workplace relations which can in turn affect team morale. The key message from the policies is that issues should be managed as soon as they arise and informally where possible, as this will be to the benefit of all.
- 3.3 Timescales for meetings, hearings, appeals, sending documents etc. have been changed from working days to calendar days. This removes any

uncertainty that might arise where staff have non-standard working patterns. The timescales for these are now all consistent across all policies.

3.4 The policies have all been created in a new generic template and as we review the remaining policies we will move all into the same template so that there is consistency. In terms of the new template, in order to simplify navigation, a contents table has been included; there is now also a version control table so that there is a clear audit trail of different changes and versions of the policy.

3.5 Disciplinary

The key changes to the policy are:

Previous policy	Proposed policy
Right to representation at the investigatory stage.	Right for employee to be represented only at formal stages, however consideration can be given to representation at earlier stages in certain circumstances.
The director or head of service nominates an investigatory officer.	Investigatory officer is at line manager level. Investigation at line manager level will put the onus on them to manage conduct in their team.
2 investigating officers appointed.	One investigating officer, though if a complex investigation or specialist officer needed 2 can lead investigation.
The investigating officer makes a recommendation to the director or head of service who made the decision. There is a potential conflict of interest when the head of service may be the hearing officer.	Investigating officer to decide if the case should move to a disciplinary hearing.
Disciplinary sanctions - we state the period for which the sanction will remain on the employee's personal file for disciplinary purposes.	Clarification that once the warning has expired it will be disregarded for disciplinary purposes. There may be exceptions to this where employees have repeated lapsed warnings.
HR attend all disciplinary hearings.	HR representation on the panel is only required if the outcome could be dismissal.
The director or head of service suspends.	Suspension will normally be undertaken by the line manager who is likely to investigate the case, with advice and agreement from the Director of HR or their nominated representative to ensure appropriate use and consistency.
We state that suspension is not a disciplinary act and does not imply that there has been any misconduct. Also that it is a neutral and precautionary measure.	There has been recent case law on suspensions that have concluded that although it isn't a disciplinary sanction and there is no presumed guilt, in actual practice, it can have a huge impact on the individual. So we are advising that it is only used in appropriate circumstances

	and it is reviewed so the duration is as short as possible. There should be an initial assessment as to whether there is any evidence of the alleged misconduct.
The appeal should be submitted in 20 working days.	The appeal should be submitted within 14 calendar days of the sanction being received.
Policy document only.	Policy document with supporting documents such as FAQs; investigation template, and; template letters.

3.6 Grievance

The key changes to the policy are:

Previous policy	Proposed policy
The policy has 4 stages (informal, meeting, hearing and appeal).	The policy has 3 stages (informal, hearing and appeal).
When putting in a grievance the employee doesn't have to say any action they have already taken.	The employee is required to detail all the steps they have taken already in order to try to resolve the grievance. This will put the onus on the employee to take some ownership for resolving the issue.
No information about the process when an employee submits a grievance once they have left the Council.	Details of the process where an employee leaves the Council and then submits a formal grievance after their employment has ended. There will be a simplified version whereby a written grievance will be considered by an appropriate manager and a written response given.
Policy document only.	Policy document with supporting documents such as grievance form, template letters.

3.7 Dignity at Work

The key changes to the policy are:

Previous policy	Proposed policy
Policy and guidance documents.	The policy and guidance have been amalgamated into one policy document but with supporting documents such as FAQs and template letters
2 investigating officers.	The investigation is undertaken by 1 person, normally the line manager, so they have ownership of issues within their team.
Very prescriptive process.	The policy is much less prescriptive particularly around the investigation to allow more flexibility dependant on the

	nature of the complaint.
The investigating officer compiles a report.	There isn't automatically a requirement to have a formal report. Other outcomes may be equally valid
The investigation report is shared with both parties.	The manager who has investigated informs both the complainant and the respondent of the outcome in writing.
There isn't detail regarding that the outcome of the process might be.	There is a list of possible outcomes which will manage expectations.
No information about the process when an employee submits a dignity at work once they have left the Council.	Details of the process where an employee leaves the Council and then submits a formal dignity at work complaint after their employment has ended. There will be a simplified version whereby a written dignity at work complaint will be considered by an appropriate manager and a written response given.

4.0 IMPLEMENTATION PLAN

- 4.1 The proposal is to implement the new policies on 1st February 2018 in order to prepare launch sessions for January. There is also work underway to improve the look, feel and accessibility of the HR intranet pages so they will be easier to navigate. The plan is to launch this in January.
- 4.2 Staff communications will be issued that will make it clear that from this date the new versions of the policies must be used for any new issues that arise. Any cases that are in progress will continue to be managed using the old version of the policy. The Business Partnering Team will link in with managers directly to ensure that they are supported in managing cases through the transition process. The revised policies will be the copies that are available on the intranet and the previous versions will only be accessible via HR where they are required. There will be direct communications to managers to ensure that they remove old versions of the policies that they might have saved on local drives.

5.0 TRAINING AND SUPPORT

- 5.1 When the policies are launched training sessions will be rolled out for managers which will outline the key changes to the policies and the revised processes. These sessions will be followed up with more comprehensive, practical, case-based training on these employee relations policies which is likely to be rolled out from the Spring. We are also currently looking at our full learning and development offer for leaders within the Council. The offer will include some skills development that will support the practical policy training.
- 5.2 Interactive e-learning courses for the main employee relations policies will also be rolled out; these will help managers to develop their knowledge and understanding.

6.0 RECOMMENDATIONS

6.1 Employment Committee are recommended to approve the revised policies and the associated implementation plan.

Appendix 1

Revised policies.

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**TRAFFORD
COUNCIL**

DISCIPLINARY POLICY

Author	Human Resources
Date	1 st February 2018
Version	3.0

Version Control

Issue	Date	Author	Change History
V1.0	January 2004	-	First version
V2.0	May 2007	-	Revised version
V2.1	October 2009	-	Minor amendments
V2.2	April 2010	Kate Sturman	Minor amendments
V2.3	March 2016	Kate Sturman	Minor amendments
V3.0	February 2018	Kate Sturman	Revised version

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TRAFFORD COUNCIL - DISCIPLINARY POLICY

1. Purpose

- 1.1 Trafford Council is committed to providing quality services through its people. In order to achieve this, it is expected that the conduct of employees will reflect the Council's values.
- 1.2 This procedure is designed to encourage all employees to achieve and maintain acceptable standards of conduct and attendance, and to provide a fair, consistent and effective mechanism for dealing with disciplinary matters.

2. Principles

The main principles upon which the procedure is based are.

- 2.1 Disciplinary issues will be dealt with fairly and effectively and with clear outcomes at all stages.
- 2.2 At every stage of the procedure an employee will be advised of the nature of the complaint against them and will be given the opportunity to state their case before any decision is made.
- 2.3 At all formal stages of the Disciplinary Procedure an employee will have the right to be accompanied by a fellow worker, a Trade Union representative or an official employed by the Trade Union. However consideration will be given to allowing representation prior to the formal stages in more serious or complex cases, for example where an allegation constitutes Gross Misconduct. A Trade Union representative who is not an employed official must have been employed by their union as being competent to accompany a worker. The fellow worker/Trade Union representative is present in order to observe the proceedings and advise the employee. They can address the hearing to put and sum up the employee's case, respond on behalf of them to any views expressed and confer with the employee. They do not have the right to answer questions on the employee's behalf, address the hearing if the employee does not wish it or prevent the Council from explaining their case.
- 2.4 No disciplinary action will be taken against a Trade Union Representative either in relation to their conduct whilst acting in the capacity of a Trade Union Representative or at any other time, without prior consultation with the appropriate Branch Secretary and District Officer (subject to the employee's agreement to this consultation). The Trade Union Representative also has the right to have their District Officer present at any Disciplinary Hearing.
- 2.5 Disciplinary action will only be taken after the full facts of the case have been established and the employee has been given the opportunity to state their case at a Disciplinary Hearing.

- 2.6 No employee will be dismissed for a first disciplinary offence except in the case of gross misconduct.
- 2.7 Disciplinary matters will normally be dealt with in order through the stages of the procedure, but the procedure may be started at any stage or stages if the employee's alleged misconduct requires such action. Matters of a serious nature, where dismissal is a possible outcome will be considered under Stage 3.
- 2.8 Managers will be responsible for applying this procedure in a fair and equitable way and seeking guidance and support from the Human Resources service.
- 2.9 All parties will ensure that investigation, hearing and appeal processes happen as quickly as is reasonably possible for the benefit of the organisation and the employee.
- 2.10 Employees have the right of appeal against any disciplinary action taken under this procedure.
- 2.11 Records will be treated as confidential in line with the General Data Protection Regulations 2018.
- 2.12 Reasonable adjustments will be made to support disabled employees, where this is appropriate.

3. Scope of the procedure

- 3.1 This procedure applies to all employees of Trafford Council, who have satisfactorily completed their probationary period, with the exception of senior managers employed under the Joint National Conditions for Chief Executives and Chief Officers and employees within the Local Authority's schools, where separate arrangements are in place.
- 3.2 The Probationary Period Policy and Procedure should be followed, where there are conduct issues, for staff who are still working in the probationary period.
- 3.3 There is a separate procedure for dealing with sickness absence, but unauthorised absence will be managed under this procedure.
- 3.4 There is a separate procedure for dealing with unsatisfactory performance (capability).
- 3.5 This procedure does not apply to contractors, external consultants and agency staff (with the exception of those staff that have acquired employment rights). Advice should be sought from the HR Service.

4. Conduct that may lead to disciplinary action

4.1 It is impossible to provide a comprehensive and exhaustive list of all the issues that might lead to a disciplinary investigation and formal disciplinary action, but some of the more common are detailed at Appendix 1. These are provided for guidance only.

5. Informal discussions

5.1 Cases of minor misconduct are usually best managed informally by an employee's line manager. An informal discussion is usually all that is required to improve an employee's conduct. In some cases additional training, coaching and advice may be required.

5.2 The purpose of the informal discussion is to advise the employee that their conduct is failing to meet the required standards, to find out any explanation/reasons for the conduct and to encourage them to improve. Feedback should be clear and useful, with the emphasis being on finding ways for the employee to improve and for the improvement to be maintained.

5.3 During the informal discussion the line manager should listen to whatever the employee has to say about the issue. It may become clear that there is no cause for concern in which case the line manager should let the employee know this.

5.4 Where improvement is required the line manager should make sure that the employee understands what needs to be done, how their conduct will be reviewed and over what time frame. What has been agreed in the discussion should be confirmed in writing to the employee and their progress should be monitored during any agreed review period. This letter or document is referred to as a "management instruction".

5.5 If informal action does not bring about an improvement, i.e. the misconduct occurs again, or the misconduct is considered more serious after informal discussions, a formal disciplinary investigation take place in line with the formal disciplinary procedure set out below.

6. The formal Disciplinary Procedure

6.1 Investigation

6.1.1 When a potential formal disciplinary matter arises, it is important to investigate the allegation (s) and establish the facts promptly to ensure timely recording of events. Written records should be made, including written statements from any witnesses where appropriate.

6.1.2 An investigatory meeting may be held to try to find out what happened, and to try to get factual information. The reason for the meeting should be made clear to the employee involved and they should be made aware that this meeting is not a Disciplinary Hearing.

- 6.1.3 The employee's immediate line manager or equivalent would normally undertake the investigation. In most cases the investigation will be undertaken by one person, however for more complex cases and/or those that require particular expertise, a second individual may support. If the investigation leads to a Disciplinary Hearing, the Hearing Officer should not have been involved in the investigation.
- 6.1.4 If the allegation may relate to Safeguarding, then the case will be referred immediately to the Council's Safeguarding Team before any disciplinary investigation is undertaken and may be referred to the appropriate external authority. A disciplinary investigation will only start once this has been agreed with the Safeguarding Team and the police, if applicable.
- 6.1.5 Having investigated all the facts the Investigating Officer should decide whether or not there is a case to answer. If they decide that there is no case to answer, then the employee should be informed that this is the outcome of the investigation and the matter should be considered closed. Alternatively if they decide that there is a case to answer, the Investigating Officer should arrange for the matter to be considered at a Disciplinary Hearing.
- 6.1.6 In this case, the Investigating Officer should write a report establishing that there is substance to the allegation(s) and include the full details of the case, witness statements and evidence. The Investigating Officer will present the case, together with relevant documents and evidence, at the Disciplinary Hearing. The Investigating Officer will not participate in making any decision at a Hearing.

6.2 Disciplinary Hearing

6.2.1 Informing the employee

In good time before a formal hearing (**at least 7 calendar days**), the employee must be informed of the following in writing:-

- What they are alleged to have done wrong. The letter should contain enough information for the employee to be able to understand both what it is that they are alleged to have done wrong and the reasons why it is not acceptable.
- Confirmation that the formal procedure is being followed.
- Whether the allegation is potentially gross misconduct.
- Whether an outcome of the hearing may be dismissal.
- Their right to be accompanied at the Disciplinary Hearing.

The employee must, normally at least **7 calendar days** in advance of the hearing, be given copies of any relevant documents and the names of any witnesses who will provide evidence for the Hearing. In exceptional circumstances the names of witnesses may be withheld if there are reasonable grounds for concern about the safety and well-being of these witnesses. If this happens, an anonymised witness statement will be provided to the employee.

The Hearing Officer should be a manager who has not been directly involved in the disciplinary investigation. Where an outcome of the Disciplinary Hearing could be dismissal (i.e. gross misconduct or cases of repeated misconduct), then the Hearing Officer should be the appropriate director/head of service or his/her nominee. The Hearing Officer should be supported at the Disciplinary Hearing by a representative from the HR Service.

6.2.2 Disciplinary outcomes and actions

Where, following a Disciplinary Hearing, an employee is found guilty of misconduct, the Hearing Officer can take the following forms of disciplinary action.

- First Written Warning
- Final Written Warning
- Dismissal or Action Short of Dismissal

Before making a decision, the Hearing Officer should consider the employee's 'live' disciplinary and general record, length of service, actions taken in any previous similar cases, the explanations given by the employee, including any explanation/reason for the conduct and most importantly, whether the disciplinary action is reasonable under the circumstances.

STAGE 1 - FIRST WRITTEN WARNING

If informal action does not correct the situation or if appropriate for the case, a First Written Warning may be issued by a Hearing Officer. The employee will be provided with written reason(s) for the decision within **7 calendar days** of the hearing.

A First Written Warning will remain live for disciplinary purposes on an employee's personal file for a period of **12 months** from the date the warning was issued. Once the warning has expired it will be disregarded for disciplinary purposes. There may be exceptions to this where employees have repeated lapsed warnings.

STAGE 2 - FINAL WRITTEN WARNING

If an employee's conduct still does not meet the standards required by the Council or if appropriate for the case or a further offence is committed requiring disciplinary action, a Final Written Warning may be issued by a Hearing Officer. The employee will be provided with written reason(s) for the decision within **7 calendar days** of the hearing.

A Final Written Warning will remain live for disciplinary purposes on an employee's personal file for a period of **18 months** from the date the warning was issued. Once the warning has expired it will be disregarded for disciplinary purposes. There may be exceptions to this where employees have repeated lapsed warnings.

STAGE 3 – DISMISSAL OR ACTION SHORT OF DISMISSAL

If conduct is still unsatisfactory, or the offence is regarded as sufficiently serious, the employee may be given notice of dismissal, demotion or action short of dismissal. Only the appropriate director/head of service, or his/her nominee, can take the decision to dismiss at a Disciplinary Hearing. The employee will be provided with, within **7 calendar days** of the decision, written reasons for dismissal, the date on which the employment contract was terminated, as well as information relating to the right of appeal.

Action Short of Dismissal

Where dismissal would normally be the decision, but there are exceptional circumstances, action short of dismissal may be considered and applied with the agreement of the employee. The following penalties can be given in conjunction with a final written warning.

- Transfer to equivalent work
- Demotion to another job with loss of pay (after 12 weeks eligible to apply for suitable vacancies).

If one of these penalties is given, the employee must be told that any reassignment of, or change to their contract must be based on there being a suitable post, which they have the skills, knowledge and experience to undertake and takes into account the circumstances of the case. The Hearing Officer should inform the employee of their decision and agree a reasonable timescale to try to find a suitable post(s).

Where such a post is found, the employee must agree to the terms of the reassignment/change. If no appropriate post can be found, or the employee will not accept the post, then the original sanction of dismissal will apply. The Council does not have to create a post.

Looking for an alternative post in these circumstances is outside of the scope of the Redeployment Procedure and should be managed within the relevant Directorate.

7. Suspension

7.1 There are a number of circumstances where it may be appropriate to consider precautionary suspension to remove an employee from the workplace until the conclusion of the investigation and a disciplinary hearing (if this is the outcome). Examples of these circumstances may include.

- Following any allegation of gross misconduct.
- Where the employee being in work could put other employees or other service users/customers at risk.
- Where criminal investigations or proceedings are taking place or due to take place.

- Where the employee being in work might prejudice or obstruct the investigation.

This list is for guidance only and is not exhaustive.

- 7.2 Precautionary suspension will be on full pay. Suspension is not a disciplinary act and does not imply that there has been any misconduct. It is a precautionary measure to allow for an effective investigation to take place, in the interest of all or any of the parties concerned.
- 7.3 Where appropriate an alternative to removing the employee from the workplace may be considered (e.g. the temporary transfer to another role, office or location). Where such a temporary transfer takes place, the decision not to suspend must be formally reviewed before the case goes to a formal hearing.
- 7.4 Suspension should normally be undertaken by the line manager who is likely to investigate the case. Before suspension happens, advice and agreement should be sought from the Director of HR or their nominated representative to ensure appropriate use of suspension and consistency across the organisation.
- 7.5 Suspensions should for as short a period as possible therefore any investigation or further action required should be undertaken as soon as possible.
- 7.6 All precautionary suspensions will be confirmed in writing and will be reviewed to ensure that the period of suspension is not unnecessarily long. In some cases as an investigation progresses it may become necessary to suspend an employee who wasn't suspended at the beginning. In some cases it may be necessary to end a suspension and to bring an employee back to work before an investigation has concluded.
- 7.7 If the employee does not comply with the conditions of suspension then payment of salary may be withheld.

8. Appeals

- 8.1 An employee has the right of appeal against any disciplinary action taken against them.
- 8.2 Where the appeal is against a warning or action short of dismissal, the appeal should be made in writing, stating the grounds/reasons for it. It should be sent to the relevant Corporate Director, within **14 calendar days** of the effective date of the sanction.
- 8.3 Where the appeal relates to the decision to dismiss, the appeal should be made in writing, stating the grounds/reasons for it. It should be sent to the Director of Human Resources, **within 14 calendar days** of the date of dismissal.

- 8.4 Where the sanction is not given verbally to the employee, i.e. it is received via a written communication, the date of the sanction is the date that the communication is received and the 14 days will start from this date.
- 8.5 The individual should submit their appeal using the form 'Appeal Against Disciplinary Action' (see Appendix 3). The employee should detail the key grounds/reasons for their appeal at this stage. They can then follow-up with any full statement of case/further information, however this needs to be submitted at least 2 weeks before the appeal hearing.
- 8.6 Additional evidence/information submitted at a later date will only be considered in exceptional cases and with the agreement of all parties.
- 8.7 Where the appeal is against the issuing of a warning or action short of dismissal, the Appeal Officer will be an independent, more senior manager than the original Hearing Officer. Support will be provided by a representative from the HR Service, where possible.
- 8.8 Where the appeal is against the decision to dismiss, an Appeals Sub-Committee, comprised of three Elected Members, will be set up. Support will be provided by a representative from the HR Service.
- 8.9 Unless there has been any new evidence submitted, or a significant change in circumstances affecting the case, the Appeal Officer/Sub-Committee will decide whether the previous decision was appropriate given all the circumstances and the evidence heard. In most cases an appeal hearing will be appropriate, however occasionally, where significant new evidence is available, a re-hearing may be required.
- 8.10 The Appeal Officer/Sub-Committee may uphold the appeal, substitute a lesser disciplinary sanction or confirm the disciplinary action taken.

9. Support

- 9.1 A free, confidential and external counselling service is available to all employees via Health Assured on 0800 030 5182.

10. Review

- 10.1 This policy will be periodically reviewed in order that that it remains appropriate to the Council's operation, is best practice and meets legal requirements.

Appendix 1

Acts of Gross Misconduct

The following list is not intended to be comprehensive, it provides examples of gross misconduct, which could, dependent on the seriousness of the offences, result in summary dismissal.

- Theft or incitement to steal.
- Fraud and Corruption, which may include acts of fraud/corruption against the Council not directly related to the employee's job role.
- Physical violence, bullying or harassment.
- Unlawful discrimination or harassment on the grounds of gender, race (including colour, nationality and ethnic origin or national origins), disability, age, sexual orientation, religion or belief.
- Abuse of vulnerable clients in the care of the Council.
- Deliberate and serious damage to property.
- Serious misuse of the Council's property or name.
- Deliberately accessing internet sites containing pornographic, offensive or obscene material.
- Abuse of e-mail or other communication systems used and/or owned by the Council.
- Serious insubordination.
- Bringing the Council into serious disrepute.
- Serious incapability at work brought on by alcohol or illegal drugs.
- Causing loss, damage or injury through serious negligence.
- A serious breach of health and safety rules.
- A serious breach of confidence.
- Grossly offensive behaviour.
- Fraudulent timekeeping.
- False and misleading statements e.g. on application forms, on medical questionnaires or at medical examination, at an accident investigation or at a disciplinary investigation.
- Bringing firearms or offensive weapons on the Council's premises.
- Accepting profits or bribes for personal gain, including the inappropriate acceptance of certain gifts and hospitality.
- Allowing one's private interests or duty to conflict with the interests of the Council.
- Failure to account for, report or record any matter for which it is the employee's duty to do so.

Appendix 2

Protocol for Disciplinary Hearings

The procedure below is to be followed at a Disciplinary Hearing held as part of the Disciplinary Procedure for staff employed by Trafford Borough Council, with the exception of Chief Officers.

The Hearing

1. The management representative will present the case against the employee. Witnesses may be called and evidence produced.
2. The employee or their representative may ask questions about the evidence produced by the management representative and any witnesses called.
3. The employee or their representative will present their case. Witnesses may be called and evidence produced.
4. The management representative may ask questions about the evidence produced by the employee and their representative and any witnesses called.
5. The Hearing Officer may ask questions at any time of either party, their representatives or any witnesses called.
6. The employee, or their representative, and the management representative will have the opportunity to sum up their case, if they so wish.
7. Following summing up, both parties together with their representatives and any witnesses called will leave while the Hearing Officer considers the facts.
8. The Hearing Officer will bring both parties back in and give the outcome of the hearing and the reasons for the decision. In some cases they may be unable to make a decision on the day and will agree with the employee how they will make contact with the outcome. The decision will be confirmed in writing within **7 calendar days of the hearing**, or the date the outcome was communicated.

Notes

- a) If during the hearing further points emerge which require investigation; the Hearing Officer may call for an adjournment to allow the new facts to be investigated after which the hearing can be reconvened.
- b) Witnesses should be called into the hearing at the point that they are required to give their evidence. When they have done so and have answered questions they will be asked to leave the hearing.
- c) Both sides can ask the Hearing Officer for adjournments, in order to have a break from the proceedings.

Appendix 3

Appeal against disciplinary action

Please complete this form in full if you have been disciplined and wish to appeal against this decision.

Please return this form, together with any new supporting documents to the relevant Corporate Director, **within 14 calendar days** of the effective date of the disciplinary sanction.

You must clearly state why you wish to appeal and detail why you disagree with the Disciplinary Panel’s decision. Please indicate below the grounds for your appeal:

- a) Appeal against the facts
- b) Appeal against the decision
- c) Appeal on procedural grounds
- d) New information is available

In all cases, you must clearly detail your reasons on Page 2 of this document. If you are appealing on the grounds that new information is available, you should also explain why this information has only just become available.

EMPLOYEE NAME			
Address			
Job Title			
Department			
Telephone Number	Work		Home
Continuous Service with TMBC			
Name/Address of Representative	Name		
	Address		
Contact Tel No.			
Appeal Against Decision of (name)			

Nature of Decision (e.g. written warning, dismissal etc.)		
What was the effective date of the disciplinary sanction?		
I wish to appeal against the decision because...		
Please provide the names of the witnesses you wish to call		
Name		
Contact no.		
Name		
Contact no.		
Signature of Employee:		
Date:		



TRAFFORD COUNCIL

GRIEVANCE POLICY

Author
Date
Version

Human Resources
1st February 2018
3.0

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Issue	Date	Author	Change History
V1.0	June 2003	-	First version
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TRAFFORD COUNCIL - GRIEVANCE POLICY

9. Introduction

- 9.1 In any organisation employees may have problems or concerns about their work, working environment or working relationships that they wish to raise and have addressed. The following procedure provides a way for these to be dealt with fairly and quickly, before they escalate and get worse.

10. Principles

The main principles upon which the procedure is based are.

- 10.1 Managers are responsible for applying this procedure in a fair and equitable way and seeking advice, guidance and support from the HR Service, if required.
- 10.2 It is hoped that most issues can be dealt with informally, with an employee's immediate line manager. However, where this is not possible and the employee wishes to take the matter further, this procedure should be used.
- 10.3 All parties will ensure that the investigation and Hearing/Appeal process progresses as quickly as possible for the benefit of the organisation and the employee.
- 10.4 Grievances should be raised without unreasonable delay and as soon as possible after the incident which is giving cause for concern. Grievances that are raised after 3 months of the latest incident being complained about will not be heard.
- 10.5 Employees will have the right to be accompanied by a work colleague, a Trade Union representative, or an official employed by a trade union at all formal meetings and Hearings conducted under this procedure.
- 10.6 Records should be kept detailing what the grievance is about, the response, any action taken and the reasons for it. These records should be kept confidential and retained in accordance with the General Data Protection Regulations 2018.
- 10.7 A group of employees with the same grievance may raise the matter, as a collective grievance, under this procedure.
- 10.8 If the employee is disabled, the manager will make appropriate 'reasonable adjustments' to any provisions, criteria or practices associated with following the Grievance Procedure that may affect the employee.
- 10.9 Where an employee raises a grievance in good faith which is not upheld following an investigation, no action will be taken. If, however, an employee

raises a grievance that is found to be for malicious or vexatious motives, the manager may consider taking disciplinary action.

10.10 Any parties, knowingly giving false information at any stage of the grievance process may be subject to disciplinary action.

10.11 Where an employee becomes sick whilst a grievance is ongoing, or submits a grievance while off sick, resolution of the grievance may contribute to their recovery. Efforts to resolve the issues raised should, where possible continue during the period of sickness, with advice from Occupational Health where necessary.

11. Scope of the procedure

11.1 The procedure applies to all employees of Trafford Council with the exception of senior managers employed under the Joint National Conditions for Chief Executives and Chief Officers and employees within the Local Authority's schools where separate arrangements are in place.

11.2 The procedure cannot be used to challenge formal outcomes in other procedures which have an appeal process or to complain about the application of another procedure that has an appeal process (e.g. Disciplinary procedure, Capability procedure, Attendance Management procedure, Redundancy procedure, Flexible Working procedure, Probationary procedure).

11.3 This procedure is not intended to deal with issues of concern which relate to the Public Interest and Disclosure Act 1998. These concerns should be raised under the Council's Confidential Reporting Code (Whistleblowing).

11.4 The procedure does not apply to a complaint regarding discrimination, harassment and bullying, victimisation or inappropriate behaviour which should be addressed under the Council's Dignity at Work Policy.

12. The procedure – informal stage

4.1 Most day to day complaints and grievances are best dealt with informally through a discussion between the employee and their manager. Dealing with grievances in this way can often lead to a quick resolution of problems. Both the manager and employee may find it helpful to keep a note of such an informal meeting.

If the grievance is against the line manager the matter should be raised with a more senior manager or with a representative from the HR Service.

4.2 Before a grievance moves onto the formal stage of the procedure, a serious attempt to resolve the matter must have been made under the informal stage of the procedure.

13. The procedure – formal stage

- 5.1 Once a grievance enters the formal stage the grievance form attached at appendix 1 (GP1) must be completed in all cases. The employee/s should include (1) a summary of the grievance, including dates and times where appropriate, (2) details of any witnesses, where appropriate, (3) other supporting evidence, if applicable, (4) details of the informal steps taken to resolve the grievance and (5) the outcome they are seeking from the process.

The following stages apply to both individual and collective grievances.

5.2 Stage 1 – Hearing

- 5.2.1 Where the grievance has not been resolved under the informal stage, as outlined above, the employee/s should submit the grievance to their line manager. Where the grievance is against the line manager the matter should be raised with a more senior manager or with a representative from the HR Service. The employee/s must put the grievance in writing on the form provided (GP1), preferably after discussion with their Trade Union representative. It is advisable for a copy of the form to be retained by both the employee/s and their representative.
- 5.2.2 The Hearing Officer should arrange to hear the grievance within 14 calendar days, where possible, and should inform the employee/s of their statutory right to be accompanied.
- 5.2.3 The hearing should be conducted in accordance with the agreed Protocol for Grievance Hearings. Following the hearing the Hearing Officer should confirm the decision in writing within 7 calendar days. If it is not possible to respond within this time the employee should be given an explanation for the delay and told when a response can be expected. The employee should be notified of their right to appeal.
- 5.2.4 If the grievance is upheld the letter should detail any outcome for work and working practices as a result of the decision. In other words, what action will be put in place to improve the situation that resulted in the grievance. The manager must take responsibility for ensuring that any actions are put in place and monitored as appropriate.

5.3 Stage 2 – Appeal Hearing

- 5.3.1 Where the matter cannot be resolved at stage 1 the employee/s should appeal in writing, within 14 calendar days of the decision to the Director of Human Resources. They should outline their grounds of appeal. New matters will not be considered at this point and the original GP1 form, along with paperwork from the stage 1 process will inform this stage of the process.
- 5.3.2 The Director of Human Resources will arrange for a panel of Elected Members to hear the appeal. The panel will be three Elected Members, support will normally be provided by the HR Service. The Appeals Committee will take place as soon as practically possible and, ideally, within 28 calendar days, of receiving written notification of the employee/s wish to appeal.

- 5.3.3 The hearing should be carried out in line with the agreed Protocol for Grievance Hearings. The chair of the panel dealing with the appeal should give a final decision on the grievance within 7 calendar days. If it is not possible to respond within this time the employee should be given an explanation and told when a response can be expected.
- 5.3.4 If the grievance is upheld the letter should detail any outcome for work and working practices as a result of the decision. In other words, what action will be put in place to improve the situation that resulted in the grievance. The manager must take responsibility for ensuring that any actions are put in place and monitored as appropriate.
- 5.3.5 The decision at stage 2 is final and there is no further right of appeal.

5.4 Non-attendance at a formal Grievance Hearing

- 5.4.1 If an employee, or their representative, has a good reason for being unable to attend a Grievance/Appeal Hearing, it will be rearranged. If the employee is unable to attend the rearranged hearing it will normally happen in their absence but with their representative being provided with an opportunity to attend and put forwards the employee's case on the employee's behalf. If the employee or their representative does not attend the re-arranged hearing the Grievance/Appeal may be heard in their absence and a decision made based on the information in the originating grievance form (GP1) and management's response to that.

14. Grievance after leaving the Council

- 6.1 If an employee, or his or her representative, has a good reason for being unable to attend a Grievance/Appeal Hearing, it will be rearranged. If the employee is unable to attend the rearranged hearing it will normally happen in their absence but with their representative being provided with an opportunity to attend and put forwards the employee's case on the employee's behalf. If the employee or their representative does not attend the re-arranged hearing the Grievance/Appeal may be heard in their absence and a decision made based on the information in the originating grievance form (GP1) and management's response to that.

15. Monitoring

- 7.1 Managers who deal with a grievance either informally or formally are responsible for recording the details of the grievance along with the outcome and reporting this to their HR Service who will ensure records of these are kept for monitoring purposes.

8. Review

- 8.1 This policy will be periodically reviewed in order that that it remains appropriate to the Council's operation, is best practice and meets legal requirements

Appendix 1

Protocol for Grievance Hearings (Stages 1 and 2)

The procedure below should be followed at a 'Hearing' or an 'Appeal Hearing' held as part of the Grievance Procedure for staff employed by Trafford Council, with the exception of teaching and non-teaching staff employed at schools.

1. At the hearing the employee, or their representative, will outline the grievance in the presence of the Hearing Officer/Appeals Panel, and will have the right to call witnesses, where appropriate. The Hearing Officer/Appeals Panel will have the opportunity to ask questions of the employee, their representative, or any witnesses called.
2. The Hearing Officer/Appeals Panel will have the right to call witnesses independently. The employee, or their representative, will have the opportunity to ask questions of these witnesses.
3. The employee, or their representative, will have the opportunity to sum up their case, if they so wish.
4. The Hearing Officer/Appeals Panel will give its decision, with reasons, either personally or in writing. If personally, the decision will be confirmed in writing within 7 calendar days.
5. If the grievance is upheld the letter should detail any outcome for work and working practices as a result of the decision. In other words, what action will be put in place to improve the situation that resulted in the grievance. The manager must take responsibility for ensuring that any actions are put in place and monitored as appropriate.
5. During the hearing the decision of the Hearing Officer/Chair of the Appeals Panel as to which matters are of relevance to the proceedings will be final.

Appendix 2

GP1 - Formal Grievance Form	
Employee Name and Payroll number:-	Department:-
Job Title:-	Line Manager:-
Date of event:-	
Summary of grievance:-	
Details of any witnesses:-	
Other supporting evidence:-	
Details of informal steps taken to resolve the grievance and why it is felt that the issue has not been resolved informally (include dates:-	
What resolution are you seeking?	
Do you wish to be accompanied at a formal Grievance Hearing by a work colleague, certified Trade Union representative or a Trade Union official?	Yes No
Name of work colleague/representative	
I request a formal hearing under Stage 2 of the Grievance Procedure	
Signed:	
Date:-	



TRAFFORD COUNCIL

DIGNITY AT WORK POLICY

Author	Human Resources
Date	1 st February 2018
Version	3.0

Version Control

Issue	Date	Author	Change History
V1.0	October 2006	-	First version
V2.0	January 2010	-	Revised version
V2.1	July 2013	Kate Sturman	Minor amendments
V3.0	February 2018	Kate Sturman	Revised version

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TRAFFORD COUNCIL – DIGNITY AT WORK POLICY

16. Introduction

- 1.1 Trafford Council is opposed to all forms of unlawful discrimination and harassment and wants to create and maintain a workplace where all employees are treated with dignity and respect.
- 1.2 All such complaints should be treated seriously and dealt with in a timely, comprehensive, effective and fair way. The main aim of this procedure is to resolve complaints of discrimination or, harassment, so that the behaviour stops.

17. Scope of the procedure

- 2.1 This policy covers all employees of Trafford Council with the exception of employees within the Local Authority's Schools where separate arrangements are in place.
- 2.2 Any employee may use this procedure if they believe they have:
 - Been subjected to any form of harassment or bullying at work.
 - Witnessed the harassment or bullying of a colleague.
 - Been subjected to discrimination (being treated unfairly because of a protected characteristic).
 - Being subject to victimisation.
- 2.3 Employees who, in good faith, raise a genuine complaint under this procedure will not receive unfair treatment or victimisation because they have made a complaint.

18. What is harassment and bullying and victimisation?

3.1 Harassment and bullying

The Equality Act 2010 defines harassment as “unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual’s dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual”.

Bullying is not specifically defined in law but may be characterised as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means intended to undermine, humiliate, denigrate or injure the recipient.

3.2 Examples of harassment and bullying

Harassment and bullying may be against one or more people and may involve single or repeated incidents ranging from extreme forms of intimidating

behaviour, such as physical violence, to more subtle forms such as ignoring someone.

Examples include.

- Unwanted physical contact.
- Unwelcome remarks about a person's age, dress, appearance, race or marital status, jokes at personal expense, offensive language, gossip.
- Isolation or non-cooperation and exclusion from social activities.
- Graffiti, obscene gestures.
- Coercion for sexual favours , suggestions that sexual favours may result in career advancement or other employment benefit.
- Pressure to participate in political/religious groups.
- Personal intrusion from pestering, spying and stalking.
- Shouting at colleagues in public or in private.
- Setting impossible deadlines.
- Persistent unwarranted criticism.
- Personal insults.

Bullying and harassment is not necessarily face to face. It can also occur in written communications, phone, e-mail and on social networking sites.

3.3 Victimization

Victimization is a form of harassment. Victimization occurs when an employee is treated badly because they have made or supported a complaint or raised a grievance under the Equality Act 2010, or because they are suspected of doing so. An employee is not protected from victimisation if they have maliciously made or supported an untrue complaint.

19. **The procedure**

If an employee believes that they have been the victim of discriminatory treatment or harassment, or have witnessed discrimination or harassment, they may choose to take either informal or formal action.

4.1 **Informal action**

4.1.1 Where possible, the employee should talk directly to the person who they believe is treating them inappropriately clearly explaining their objection to the other employee's actions or conduct. In the case of harassment, the employee should explain clearly what aspect of their colleague's behaviour is unacceptable, or is causing offence, and request that it should stop. It may be that the person is genuinely unaware that their behaviour is unwelcome or causing offence.

4.1.2 If the employee does not feel able to deal with this on their own, they may choose to speak to a colleague or their trade union representative for support.

4.1.3 The employee should keep a personal record of the events, the discussion with the other person and the change in behaviour requested.

4.1.4 Research has shown that most complaints can be resolved informally and mediation at this stage may be appropriate. However in situations where the matter remains unresolved due to non-acceptance of the allegation made, or because the behaviour continues, then the formal procedure should be followed.

4.2 Formal action

4.2.1 Formal action may be necessary when.

- Informal approaches are not accepted and fail to resolve the problem.
- There has been repeated harassment following informal action.
- Informal action is not appropriate because the alleged nature of the behaviour is so serious.

It may be appropriate, depending on the nature and seriousness of the allegations, to suspend the alleged harasser or transfer them temporarily to another department (if possible), whilst a thorough investigation is carried out.

Where formal action is necessary the following process should be followed.

4.2.2 Stage 1 - Formal

The employee should submit their complaint to their immediate line manager. Where the complaint is against the line manager the matter should be raised with a more senior manager. The employee must put their complaint in writing using the form attached at Appendix 1 (DAW1 form).

Upon receipt of the complaint the manager should:-

- Arrange for a meeting with the employee within 14 calendar days, where possible, to discuss their complaint. Inform the employee of their right to be accompanied at the meeting.
- Inform the alleged harasser of the complaints against them and invite them to a meeting so that they can respond to the allegations. Inform them that they may be accompanied at the meeting.
- Consideration given to whether suspension or a temporary transfer is appropriate (see section above).
- Take statements from any witnesses, and if a meeting is appropriate, inform them that they may be accompanied.
- Keep the employee and the alleged harasser informed of expected timescales.

Following the investigation, the manager should confirm the decision in writing, to both employees. The response should be provided within 14 calendar days of the end of the investigation, where possible. If it is not

possible to respond within this time the employee should be given an explanation for the delay and told when a response can be expected.

The employee who made the complaint should be notified of their right of appeal.

4.2.3 Stage 2 – Appeal

Any appeal should be made in writing, within 14 calendar days of receipt of the written outcome of stage 1. The paperwork from the Stage 1 process will be used at this stage of the process.

Where possible a more senior manager than the manager involved in Stage 1 of the process will hear the appeal. The appeal will be held, where possible, within 14 calendar days, of receiving written notification that the employee is appealing.

The outcome of the appeal will be confirmed in writing to the employee within 14 calendar days. If it is not possible to respond within this time frame the employee should be given an explanation and told when a response can be expected.

The decision at stage 2 is final and there is no further right of appeal.

4.2.4 Right to representation

At all formal stages of the procedure, employees have a right to be accompanied by a companion who is either.

- a fellow employee
- a recognised trade union representative
- an official employed by the trade union

20. **Possible outcomes**

Following the investigation, the facts will be considered to decide whether to:

- Take no action if it is decided that there is no basis for the allegations.
- Use the Council's Disciplinary Procedure.
- Take other management action, this could include:
- Putting in place arrangements to monitor the situation.
- Required attendance on training courses.

Recommending that the parties undergo mediation in order to improve their working relationship

6. **Malicious Allegations**

The Council has a duty of care to employees, so if an allegation of harassment is made then it will be taken seriously and the appropriate steps

will be taken. If, however, it is found that allegations have been made maliciously and not in good faith, disciplinary action will be taken against the employee making the allegations.

7. Time Limits

Employees are encouraged to make complaints of harassment and bullying as soon as possible after the incident/s occur. Individuals must raise a complaint within three months of the latest incident. Complaints which are not raised within this timeframe are unlikely to be heard.

8. Records

Records should be kept detailing the nature of the allegation of discrimination or harassment, the Council's response, any actions taken, the reasons for them and the outcome. Details of these should be retained on file by the HR Service, who will ensure the records are held in accordance with the General Data Protection Regulations 2018. The HR Service HR Service who will ensure records of these are kept for monitoring purposes

9. Review

This procedure will be periodically reviewed, in order that it remains appropriate to the Council's operation, is best practice and meets legal requirements.

Appendix 1

DAW1 - Formal Dignity at Work Complaint Form	
Employee Name and Payroll number:-	Department:-
Job Title:-	Line Manager:-
Date of event:-	
Summary of complaint:-	
Details of any witnesses:-	
Other supporting evidence:-	
Details of informal steps taken to resolve the complaint (include dates). Details should include why it is felt that the issue has not been resolved informally:	
What resolution are you seeking?	
Do you wish to be accompanied at a formal Grievance Hearing by a work colleague, certified Trade Union representative or a Trade Union official?	Yes No
Name of Work colleague/representative	
Signed:	
Date:-	

Appendix 2

Dignity at Work Monitoring Form

This form is to record complaints of harassment and bullying without identifying individuals. It must be completed by managers to record all complaints of harassment and bullying received, whether dealt with formally or informally.

Monitoring complaints is an important part of the Dignity at Work Procedure. It enables senior managers to monitor the nature and pattern of cases of harassment and bullying of employees, and the action taken. In addition, it enables senior managers to monitor across the whole authority.

Service:

Team:

Manager's Name: _____ Ext No: _____

1. Date & Type of Bullying/Harassment Alleged: (please tick as many as relevant)

Type	Tick	Date
Age		
Disability		
Gender		
Race		
Religion / Belief		
Sexual Orientation		
General Bullying		
Other – please specify		

2. Equalities Data

Complainant: Ethnic Origin: _____ Disabled: YES / NO

Respondent: Ethnic Origin: _____ Disabled: YES / NO

3. Nature of Alleged Bullying/Harassment: (please circle relevant ones)

E.g. Abuse / jokes / graffiti / unnecessary touching / sexual demands / excluding colleagues from workplace activities / offensive manner / unwanted personal comments / persistent discrimination / other. If "other" is circled, please briefly describe

4. Having received the complaint, what management action was taken?

(Please complete all relevant sections below)

- Informal action to stop the bullying/harassment YES / NO

If "YES", please briefly describe the action taken to stop the bullying/harassment:

- Was there an investigation? YES / NO

If "YES", did the investigation find the complaint substantiated? YES / NO

If not substantiated, what did the investigation find?

- Was the Disciplinary Procedure used? YES / NO

If "YES", what was the outcome?

Please return this form to the HR Business Partnering Team

TRAFFORD COUNCIL

Report to: Employment Committee
Date: 11th December 2017
Report for: Information
Report of: Deborah Lucas, Acting Director of HR

Report Title

Workforce Update

Recommendation(s)

It is recommended that Employment Committee notes the content of this report

Contact person for access to background papers and further information:

Name: Deborah Lucas
 Extension: x4095

Relationship to Policy Framework/Corporate Priorities	This proposal aligns with the council’s Corporate Priorities in respect to ‘Low Council Tax and Value for Money’ and ‘Reshaping Trafford Council’.
Financial	The workforce update provides a monthly snapshot of key activities across the organisation and allows for early interventions and strategies to be developed that will support effective workforce resourcing, wellbeing and development which will reduce related costs.
Legal Implications:	The implementation process will be fully compliant with employment legislation.
Equality/Diversity Implications	Equality Impact Assessments will be undertaken in line with the Equality Framework at the appropriate time.
Sustainability Implications	None
Staffing/E-Government/Asset Management Implications	Scrutiny of workforce data identifies staffing related issues at an early stage and ensures that early intervention strategies can be put in place.
Risk Management Implications	The risks associated with monitoring workforce data are low.
Health & Wellbeing Implications	Scrutiny of workforce data will identify staffing related issues at an early stage and help to support interventions to improve the health and wellbeing of the workforce.
Health and Safety Implications	As above

1. BACKGROUND

- 1.1 Workforce metrics help to determine the value and effectiveness of HR initiatives and provide valuable data to inform the development of HR strategies and workforce planning.
- 1.2 Workforce data typically includes areas such as staff turnover, absence levels, training and development, etc.
- 1.3 Traditionally, we have reported on HR data in discrete areas such as sickness absence, agency spend, staff engagement, apprenticeships, etc. with reports being presented to bodies such as Employment Committee, JCCs, CLT, etc. and also included as part of the ADP.

2.0 REVISED APPROACH

- 2.1 In order to optimise the benefits of workforce metrics, an approach has been developed which pulls together a full data set of key metrics on a monthly basis, in a user friendly format, entitled 'Workforce Update'. This format gives headline data, by directorate and is supported by a narrative which highlights trends and issues that are of importance.
- 2.2 The Workforce Update is presented to CLT and the Leader on a monthly basis and is also published on the Council's intranet site so that staff have sight of activity across directorates.
- 2.3 The benefit of having the data in one place is that linkages can easily be made across data sets and comprehensive HR strategies can be put in place that address wider issues rather than just concentrate on discrete areas.

3.0 HIGH LEVEL ANALYSIS OF DATA

- 3.1 Attached at Appendix 1 is the data set from October 2017. At a high level, the data shows us that labour turnover has increased in general across the organisation since the previous year and is projected to be 14.75% at year end. It should be noted, however, that the national average is 15%, therefore we remain slightly below average. Agency spend is falling across every directorate as we start to fill a number of vacant posts, in particular in CFW and sickness absence levels remains at a broadly similar level as previous months, with a projection for 2017/18 of 10.26 FTE days lost per employee. Whilst this is higher than our target of 8.5 days, the average number of days lost across GM authorities for 2016/17 was 10.5 days per employee, so we remain slightly better than average in this area.
- 3.2 In terms of staff engagement, October saw us recognise the hard work of our staff at a hugely successful Staff Awards Event and we continue to deliver health and wellbeing support via a variety of channels including group sessions for Trafford Carers and a team lunch sharing event to support staff mental health and wellbeing.

3.3 In terms of talent, almost 1600 learning and development activities took place in the workplace in October and we continue to increase the number of apprenticeships across the Council as well as promoting apprenticeships at jobs fairs and with our schools.

4.0 RECOMMENDATION

4.1 Employment Committee is recommended to note this report and the work that is being undertaken to develop HR strategies to address workforce issues highlighted by this data analysis.

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Workforce Update

October 2017



Five Ways
to Wellbeing



RESOURCING



Staff Turnover

Directorate	Headcount	Projection 2017/18	Actual 2016/2017	Trend
T&R	1171	13.52%	11.97%	↑
CFW	1063	15.90%	10.37%	↑
EGEI	124	16.66%	11.97%	↑
Total	2358	14.75%	10.68%	↑

Role with most leavers was Support Worker, CFW

Vacancies Approved

Directorate	In Month	Previous Month	Trend
T&R	14	11	↑
CFW	24	22	↑
EGEI	1	2	↓
Total	39	35	↑

Internal Resourcing

Directorate	Acting-ups	Honoraria
T&R	12	14
CFW	5	10
EGEI	1	4
Total	18	28

Agency Spend

Directorate	In Month	Previous Month	Trend
T&R	£28,858	£40,343	↓
CFW	£110,094	£162,920	↓
EGEI	£13,122	£18,673	↓
Total	£152,075	£221,937	↓

Highlights:

- Projected staff turnover has remained at a very similar rate as for last month, which is a higher level than the turnover for 2016/17, however it remains lower than the national average turnover rate of 15%.
- As the turn-over of social workers has been high, an exercise was undertaken to explore the reasons for leaving. From January to the end of September 2017, 33 staff with HCPC left the Council, so an average of 3.5 per month. The exit questionnaires for Social Workers were reviewed, however, completion rates were low with only 5 leavers having completed one. Of those completed, 4 individuals gave a positive response to most questions. The exit assessment process provides us with important intelligence and we will now consider how we can improve the data capture process and thus improve intelligence.
- There has been a small increase in the numbers of vacancies approved within CFW and T&R which will ease some pressure in filling posts.
- The level of acting-up and honoraria payments are largely the same as last month and so are continuations from the previous month. These are good development opportunities.
- Agency spend has decreased significantly this month by circa £70k since the previous month, with the largest decrease in CFW. This is attributable to an increasing number of posts being filled, following recruitment exercises.

WELLBEING



Five Ways to Wellbeing

Sickness Absence

Directorate	In Month	Previous month	Trend
T&R	9.39	9.27	↑
CFW	11.77	11.65	↑
EGEI	5.58	5.89	↓
Total	10.26	10.18	↑

Target remains at 8.5 days

Workforce Engagement

- Annual Employee Recognition Awards ceremony held at LCCC
- First of four 'Managing Absence Workshops' held for managers
- Four PDR workshops held at TTH and Sale Waterside to gain staff views on the process and help inform future development
- Team sharing lunch for World Mental Health Day to get staff to leave their desk and take time to talk and listen to colleagues
- Weekly charity dress down days through October with support for Cerebral Palsy, Alder Hey and the Alex Hulme Foundation
- Second Trafford Carers Group held to provide a local support network for Trafford staff who are carers.
- Two Council teams involved in a football tournament with Trafford Leisure

Employee Relations

Directorate	Suspensions	Disciplinary	Grievance	Dignity at Work	Capability
T&R	1	3	1	4	2
CFW	1	4	3	1	2
EGEI	0	0	0	0	0
Total	2	7	4	5	4

OH Referrals

Directorate	In Month	YTD
T&R	4	46
CFW	5	44
EGEI	0	3
Total	9	93

Accidents

Directorate	In Month	YTD
T&R	2	15
CFW	4	26
EGEI	0	1
Schools	5	18
Total	11	60

In 2016/17: total accidents = 143 with YTD = 80 ↓

Highlights:

- A hugely successful Employee Recognition Awards ceremony was held in October; this recognised nominated individuals and teams who have made an outstanding contribution to Trafford.
- The first refreshed 'Managing Absence Workshop' was held to support managers with practical guidance on managing absence and attendance. The session included wellbeing and mental health support and received positive feedback. Three more are scheduled for this year with further workshops planned for early 2018.
- The focused review of wellbeing issues within CFW Health and Social Care Services has continued. Feedback from Strategic Leads and Service Managers has been captured and four staff forums have been programmed at TTH and Sale Waterside to gain the views from front line staff. A final report to CLT is anticipated for the end of November.
- Accident levels remain low with a much lower level than at this time last year.
- Sickness absence remains at a broadly similar level to the previous month with a projection for 2017/18 of 10.26 FTE days lost per employee. Whilst higher than our target, the average number of days lost across GM authorities for 2016/17 was 10.5 days per employee, so we remain slightly better than average.

TALENT



Learning and Development Take-up (in month)

Directorate	Attended Classroom course	Cancelled or DNA Classroom course	E-learning courses completed
T&R	17	0	256
CFW	64	6	1204
EGEI	3	0	47
Total	84	6	1507

Please note these figures include some CCG staff (under CFW)

New Apprenticeships (since 1 April 2017)

Directorate	Target (by 31st March 2021)	New starts May to September	New starts in month	Conversions May to September	Conversions in month	Total (to date)
T&R	38	4	0	11	3	18
CFW	30	0	0	0	2	2
EGEI	5	0	0	1	0	1
Schools	50	3	0	0	0	3
Total	123	7	0	12	5	24

Ongoing Apprenticeships

Level	No of Apprentices (incl. schools)
2	19
3	15
4	1
5	6
6	1
Total	42

Please note these figures include apprentice starts prior to the target being implemented in April.

Celebrating Success recipients (in month)

Directorate	Number of awards (in month)
T&R	4
CFW	0
EGEI	1
Total	5

Highlights:

- Talent has been developed through delivering and commissioning a range of classroom based learning interventions, including:
 - Time management / minute taking
 - Making the most of supervision (Adults)
 - Physical intervention training
 - Integrated assessment
 - Working at height
 - First aid at work
 - Infection control
 - Special guardianship training
- There are 3 new apprentice appointments in progress.
- 2 current apprentices have successfully completed their apprenticeships in Business Administration (Level 2 and Level 3).
- One of our current apprentices has secured a band 3 role within Legal Services.
- We have our first member of staff enrolled onto a Digital and Technology Solutions degree apprenticeship.
- We have had an increase in interest from staff to do an apprenticeship from Level 3 up to masters level in particular for Leadership and Management, Children & Young People's Workforce, Digital Technology, Paralegal and Associate Project Management.
- HR has attended GM meetings to look at the possibilities of collaborative approaches and flagship programmes for apprenticeships across the Children's and Adults Services workforce.
- We have developed and sent out guidance for schools on how to request an apprenticeship for new and existing staff.
- We are currently reviewing 5 requests from a number of our schools who are interested in upskilling their existing workforce via an apprenticeship e.g. AAT L3, L&M, Business Support and Teaching Assistants.
- Apprenticeships have been promoted this month through:
 - Attendance at Trafford College Apprenticeship Job Fair
 - Schools E-Bulletin and email communication to Head Teachers, School Business Managers and Office Managers