

Agenda

Dorset County Council



Meeting: Staffing Committee
Time: 10.00 am
Date: 22 November 2016
Venue: Committee Room 3, County Hall, Colliton Park, Dorchester, DT1 1XJ

Robert Gould (Chairman)
Trevor Jones
Peter Richardson

Peter Finney (Vice-Chairman)
Mike Lovell
Mark Tewkesbury

Andrew Cattaway
David Mannings

Notes:

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- We can provide this agenda and the reports as audio tape, CD, large print, Braille, or alternative languages on request.

- **Public Participation**

Guidance on public participation at County Council meetings is available on request or at <http://www.dorsetforyou.com/374629>.

Public Speaking

Members of the public can ask questions and make statements at the meeting. The closing date for us to receive questions is 10.00am on 17 November 2016, and statements by midday the day before the meeting.

Debbie Ward
Chief Executive

Contact: Fiona King, Senior Democratic Services Officer
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Date of Publication:
Monday, 14 November 2016

1. Apologies for Absence

To receive any apologies for absence.

2. Code of Conduct

Councillors are required to comply with the requirements of the Localism Act 2011 regarding disclosable pecuniary interests.

- Check if there is an item of business on this agenda in which the member or other relevant person has a disclosable pecuniary interest.
- Check that the interest has been notified to the Monitoring Officer (in writing) and entered in the Register (if not this must be done on the form available from the clerk within 28 days).
- Disclose the interest at the meeting (in accordance with the County Council's Code of Conduct) and in the absence of a dispensation to speak and/or vote, withdraw from any consideration of the item.

The Register of Interests is available on Dorsetforyou.com and the list of disclosable pecuniary interests is set out on the reverse of the form.

<p>3. Minutes</p> <p>To confirm and sign the minutes of the meeting held on 5 September 2016.</p>	<p>5 - 8</p>
<p>4. Public Participation</p> <p>(a) Public Speaking</p> <p>(b) Petitions</p>	
<p>5. Headcount and FTE Figures and Non-Directly Employed Contract Workforce - Quarter 2 2016/17</p> <p>To consider a report by the Chief Executive.</p>	<p>9 - 20</p>
<p>6. Management of Attendance 2016/17 - Quarter 2</p> <p>To consider a report by the Head of Human Resources and Organisational Development.</p>	<p>21 - 34</p>
<p>7. Sickness Monitoring in the Dorset Waste Partnership (DWP)</p> <p>Following a request from the Staffing Committee at its meeting held on 5 September 2016 to provide a focus on sickness absence, members will receive a verbal update in relation to the Dorset Waste Partnership.</p>	
<p>8. Redundancy Costs - Quarterly Report</p> <p>To consider a report by the Chief Executive.</p>	<p>35 - 38</p>
<p>9. Social Networking Policy</p> <p>To consider a report by the Chief Executive.</p>	<p>39 - 44</p>
<p>10. Review of the Staff Code of Conduct</p> <p>To consider a report by the Chief Executive.</p>	<p>45 - 56</p>
<p>11. Apprenticeships update</p> <p>To receive a presentation from the Service Manager, OD and Engagment.</p>	
<p>12. Statutory Officer Panel Terms of Reference (Disciplinary Investigation Process for the Chief Executive and Statutory Officers)</p> <p>To consider a report from the Head of Human Resources and Organisational Development.</p>	<p>57 - 62</p>

13. Senior Officer Pay, Terms and Conditions - Lessons Learned

63 - 68

To consider a report by the Chief Executive.

14. Questions from County Councillors

To answer any questions received in writing by the Chief Executive by not later than 10.00am on Thursday 17 November 2016.

15. Exempt Business

To consider passing the following resolution:

To agree that in accordance with Section 100 A (4) of the Local Government Act 1972 to exclude the public from the meeting in relation to the business specified below it is likely that if members of the public were present, there would be disclosure to them of exempt information as defined in the paragraphs detailed below of Part 1 of Schedule 12A to the Act and the public interest in withholding the information outweighs the public interest in disclosing the information to the public.

16. Review of Terms and Conditions (Paragraph 4)

69 - 74

To consider an exempt report by the Chief Executive.

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Staffing Committee

Minutes of the meeting held at County Hall, Colliton Park,
Dorchester, DT1 1XJ on Monday, 5 September 2016

Present:

Robert Gould (Chairman)

Peter Finney, Trevor Jones, Andrew Cattaway, Mike Lovell and David Mannings

Members Attending

Paul Kimber, County Councillor for Portland Tophill.

Officers Attending: Sara Collinson (HR & OD Business Partner), Alison Crockett (Service Manager OD and Engagement), Paul Loach (HR and OD Business Partner) and Fiona King (Senior Democratic Services Officer).

(Note: These minutes have been prepared by officers as a record of the meeting and of any decisions reached. They are to be considered and confirmed at the next meeting of the Staffing Committee to be held on **Thursday, 24 November 2016**.)

Apologies for Absence

48 An apology for absence was received from Peter Richardson.

Code of Conduct

49 There were no declarations by members of disclosable pecuniary interests under the Code of Conduct.

Minutes

50 The minutes of the meeting held on 4 July 2016 were confirmed and signed.

Matter Arising

Minute 46 – Officer Pay, Terms and Conditions- Cllr Jones as the Chairman of the Overview and Scrutiny Management Board advised members of the Staffing Committee that the Board had decided that this area needed to be reflected on, in terms of lessons learned, and that this be passed to the Staffing Committee for scrutiny. The Service Manager for OD and Engagement noted that this was in hand and further details would be brought to members at their meeting in November.

Public Participation

51 Public Speaking

There were no public questions received at the meeting in accordance with Standing Order 21(1).

There were no public statements received at the meeting in accordance with Standing Order 21(2).

Petitions

There were no petitions received at the meeting in accordance with the County Council's Petition Scheme.

Head Count and FTE and Non-Directly Employed Workforce - Quarter 1 2016/17

52 The Committee considered a report by the Chief Executive which highlighted the continuing reduction in directly employed staff with a reduction of more than 1,000FTE since June 2010. The Council's annual spend on direct employees in

2015/16 was £132.9m (including on costs such as national insurance) and this was a reduction of £19m compared to 2014/15. The spend on agency staff was £1.6m in Quarter 1 2016/17 and the spend on consultancy fees, in the same quarter, was £485k.

The HR and OD Business Partner updated members on the staff numbers for each of the directorates. It was noted that Children's Services was still carrying more than 30 social work vacancies. She highlighted that in Adult and Community Services there could be a slight increase in agency spend as the directorate was looking to put in some more temporary resource.

The Chairman felt that the new format of report was more concise and clearly presented.

The Vice Chairman also suggested the inclusion of more line diagrams to give more of a holistic picture would be helpful.

Noted

Management of Attendance 2016/17 - Quarter 1

53 The Committee considered a report by the Head of Human Resources (HR) and Organisational Development (OD) which outlined the County Council's initiative to provide more proactive and insightful sickness intelligence reporting for managers following the second successive increase in sickness absence, following four successive quarterly reductions.

The HR and OD Business Partner highlighted that the report showed increases in 5 out of 7 of the directorates and that the total number of sickness days now equated to 8.76 days per FTE.

The Vice-Chairman noted a slight increase in mental health related absence since the last quarter. The HR and OD Business Partner commented that staff were encouraged to be more open about mental health in order to receive the support they needed.

It was noted that the comparator information for age groups in the wider economy was dated (2010) and that wide ranging data was not updated on an annual basis.

The HR and OD Business Partner advised members that sickness reports were being designed to provide individual alerts to team managers as to when an action was required in relation to an individual. In addition return to work forms had been made easier for managers to complete. HR understood that managers were having to do more and were trying to make it as easy as possible to manage sickness in their teams.

The Chairman remarked that the increase in the County Council's sickness rate was disappointing, when members thought progress was being made. He agreed there was no evidence to show having an ageing workforce was a contributory cause. He highlighted the noticeable increase in the Dorset Waste Partnership (DWP) absence and suggested whether it would be helpful to have some comparative information from other authorities with similar manual working profiles. It was noted that training was key to managing musculoskeletal issues and officers were asked to check this was being offered and taken up within the DWP.

The Chairman requested an invite be sent to the Director of the DWP to the next Staffing Committee meeting in November to answer any further questions members may have.

One member made reference to an authority which had a different model for managing attendance, they had set up a dedicated line with medical information to act as a triage system. He noted that whilst this might not be an appropriate time to look at this now it might be worth considering in conjunction with the setting up of a new unitary authority. The Service Manager for OD and Engagement advised members that in the past this had been tried but it had not been used broadly across the authority. The member also felt it would be helpful to turn the sickness figures into a monetary value to show clearly what sickness costed, in the context of designing management attendance in a new authority.

Following a comment from a member regarding the long waiting times for medical appointments in some areas and if this affected the authority, the Service Manager for OD and Engagement had not heard anything from Occupational Health staff in this regard but highlighted the overall link to the Clinical Commissioning Group (CCG) if this did appear to be an issue.

Resolved

That the Director for the DWP be invited to the Staffing Committee meeting scheduled for 24 November 2016.

Apprentices

54 Members received a presentation on Apprenticeships in the Public Sector.

The Learning and OD Lead advised members of the significant changes coming forward for the arrangement for apprentices with effect from 6 April 2017. The Public Sector Duty for recruitment of Apprentices was highlighted as 2.3% of workforce which equated to 109 apprentices (excluding schools). The Apprenticeship Levy would be 0.5% of pay bill which was estimated at £475k for the County Council. Levy funding could only be used for Apprenticeship training.

The length of apprenticeships would vary and could range from up to a year for a level 2 and 18 months to 2 years for a level 3 apprentice. Higher level apprenticeships would be available in areas such as legal and engineering which would be longer term placements. All apprenticeships would require formal training involving release from the workplace. She also confirmed there was no maximum age for apprentices.

The new apprenticeships would be very different from existing arrangements and in order to benefit fully from the levy money a different approach would be required. Officers undertook to report back to the Staffing Committee in November 2016 with proposals, and highlighted that this would form part of the council's workforce planning strategy and could be used to upskill current staff.

Following a comment from a member about recruiting looked after children the Service Manager for OD and Engagement advised that this was an area that had been looked into and would be part of proposals in the November report.

In response to a question from a member regarding a councillor being appointed to look after the apprentices, the Service Manager for OD and Engagement advised that work was already on going with Cllr Deborah Croney as the Cabinet member for Learning and Skills.

Resolved

That an update report be considered by the Committee in November 2016.

Redundancy Costs - Quarterly Report

55 The Committee considered a report by the Chief Executive which considered the costs for redundancy dismissals effective from 1 April to 30 June 2016. Costs relating

to individual redundancies were now approved by the Director following the disbandment of the Personnel Appeals Committee.

The Service Manager for OD and Engagement highlighted the costs associated with the redundancy dismissals for the first quarter of the financial year and advised that there were no exceptional cases to report for the period April to June 2016.

Resolved

1. That the costs reported be noted.
2. That the inclusion of additional wording to the redundancy procedure as set out in paragraph 3.3 of the Chief Executive's report be noted.

Reason for decisions

To ensure the effective management and appropriate scrutiny of redundancy costs within the organisation.

Questions from County Councillors

56 No questions were asked by members under Standing Order 20(2).

Meeting Duration: 10.00 am - 11.25 am

Agenda Item:

Staffing Committee

Insert
Item
No.

Dorset County Council



Date of Meeting	22 November 2016
Officer	Chief Executive
Subject of Report	Head Count and FTE and Non-Directly Employed Workforce – Quarter 2 2016/17
Executive Summary	<p>The Council has a flexible approach to ensuring it has people with the right skills, in the right place at the right time to deliver services effectively. Operational needs are delivered using a combination of directly employed staff, casual workers, agency staff and specialist workers.</p> <p>Agency workers or external advisors (consultants) are used when there are work peaks or capacity issues, where there is a short term funded need or to provide specific expertise or skills which are not available within the directly employed workforce.</p> <p>The Council has seen a continuing reduction in directly employed staff with a reduction of 1,450.74 FTE (excluding schools) since June 2010. It should be noted that this reduction includes 743.5 FTE transferred to Tricuro in July 2015.</p> <p>As requested by Staffing Committee Appendix 1 shows infographics which illustrate headcount (full time equivalents) and spend on agency and consultancy workers within different Directorates over the past year (using Quarter 2 2015/16 as a comparator)</p> <p>Overall spend within the Council in Quarter 2 has been £2,09M on agency staff. The Council's annual spend on direct employees in 2015/16 was £105M (including on costs such as national</p>

	<p>insurance). Agency staff costs over the last full year represent around 6.61% of these annual direct staffing costs. The areas of greatest spend on agency staff remain in Dorset Waste Partnership and Children’s Services to meet operational needs and to cover vacancies.</p> <p>Spend in Quarter 2 consultancy fees has been £569.2K The areas of greatest spend in this area are within the Directorate for the Economy and Environment and the Chief Executives Department. However £186.5K of the spend in this area attributed to the Chief Executives Department this quarter is in relation to spend on behalf of all Dorset Local Authorities to support provided the local government reform programme. These costs are incurred on behalf of all Dorset Councils and are recovered by the County Council through grant funding in support of the programme of work. In the Directorate for Environment and the Economy much of the spend on external advisors is funded by income, fees or grants and relates to specific skills bought in to support capital project delivery or specialist expert advice.</p> <p>There has been an increase in agency spend in Quarter 2 when compared to Quarter 1 2016/17. In relation to consultancy, the net spend (excluding the spend on behalf of all Dorset authorities) has reduced since Quarter 1.</p>
Impact Assessment:	<p>Equalities Impact Assessment: Not applicable.</p> <p>Use of Evidence:</p> <p>Staffing and financial data extracted from DES for the period 1 July to 30 September 2016.</p> <p>Agency spend information provided by Comensura.</p> <p>Budget: Not applicable.</p> <p>Risk Assessment: Having considered the risks associated with this decision using the County Council’s approved risk management methodology, the level of risk has been identified as:</p> <p>Current Risk: LOW Residual Risk LOW</p> <p>Other Implications: None</p>
Recommendation	<p>1. It is recommended that the Staffing Committee consider the headcount and FTE figures and overview of agency and consultancy spend for the period 1 July 2016 to 30 September 2016.</p>

	<ol style="list-style-type: none"> 2. Staffing Committee are asked to consider the infographics in Appendix 1 and confirm the information to be included in this format in future Staffing Committee reports 3. Staffing Committee is asked to consider the use of Headcount figures from the Managers Performance Dashboard for Quarter 3 onwards. (The Manager Performance Dashboard will be demonstrated at Staffing Committee)
Reason for Recommendation	To ensure the Committee is kept apprised of changes in the number of staff employed by the County Council in the context of budget reductions and the Forward Together Programme and to ensure there is full transparency about the Council's use of staff resources.
Appendices	<ol style="list-style-type: none"> 1. Infographics showing numbers of Headcount (FTE) and costs of agency and consultancy workers within Directorates over the last 12 months (and trends compared with Quarter 2 2015/16) 2. Head Count and FTE Figures 30 June 2016 to 30 September 2016 3. Summary of Agency and Consultancy Spend by Directorate since Quarter 1, 2013/14 up to Quarter 2, 2016/17
Background Papers	Not applicable.
Report Originator and Contact	Name: Sara Collinson, HR Business Partner Tel: 01305 221507 Email: s.collinson@dorsetcc.gov.uk

1. Introduction and Background

- 1.1. The Council has a flexible approach to people resourcing and uses a combination of resourcing models to meet business needs.
- 1.2. Continuing reductions in the Council's directly employed workforce and a need to work differently, prepare for and implement change has an impact on the council's spend on agency and consultancy workers who may be engaged for a number of reasons including;
 - To 'buy in' short term technical or specialist skills rather than directly employing staff with these skills. This is often more cost effective than paying direct employment and/or termination costs. Often, funding for specific work is available through grants from the Government or other National or European organisations. The Council has a role in securing and administering grants and in commissioning work to ensure that the community benefits from available funding.
 - To cover short term vacancies or absences in front line areas either to manage peaks in workload or in some cases, where service and personnel changes are planned, as a part of a strategy to reduce staff redundancies and to limit the associated costs of redundancy.
- 1.3 Detailed Headcount and FTE figures are currently produced on a quarterly basis by Human Resources- Systems Team (See Appendix 2). It is proposed to demonstrate the Manager Performance Dashboard at November Staffing Committee from which these figures could be reported in future to save time and resources.

2. Analysis of the Trend Data for Headcount, FTE and Agency and Consultancy Spend

- 2.1 Appendix 1 shows directly employed staff numbers (FTE) across the Council and the costs of agency and consultancy workers from Quarter 2 2015/16 to Quarter 2 2016/17.
- 2.2 Appendix 2 shows the Headcount and full time equivalent figures of directly employed staff for Quarter 2 compared to Quarter 1 2016/17. This shows a reduction in directly employed headcount in all areas except for the Directorate for Environment and the Economy which has seen a small increase in directly employed staff in the quarter. This is due to a decision to increase directly employed skilled Road Workers to deliver capital funded projects in the most efficient and cost effective way.
- 2.3 Since 2010, the County Council's FTE (Full time equivalent) count has reduced by 1,450,74 FTE (excluding schools). It should be noted that this reduction includes 743.5 FTE transferred to Tricuro in July 2015.
- 2.4 Appendix 3 shows an increase in agency costs across all Directorates since Quarter 1. Overall spend within the Council on agency staff in Quarter 2 was £2,09M. The Directorate commentary in paragraphs 3 to 8 shows that this has been to cover vacancies and to provide temporary resources to cover sickness, to deliver specific project work or to avoid redundancies and the associated costs by temporarily covering vacancies in areas which are being restructured
- 2.5 Appendix 3 also shows an increase in consultancy costs overall in Quarter 2

compared to Quarter 1. Spend in Quarter 2 on external advisors has been £569.2K. This rise between quarters is predominantly due to a significant increase in spend on external advisors in the Chief Executives Department. The commentary shows that this is due to the support being provided to the local government reform programme. These costs of £186.5K are incurred on behalf of all Dorset Councils and are recovered by the County Council through grant funding in support of this programme of work. In the Directorate for Environment and the Economy spending is related to project delivery or specialist advice. Examples are in respect of studies on surface water management, strategic routing and cross boundary studies, topographical studies and support to projects such as the Weymouth Town Centre Masterplan and Western Growth Corridor Partnership.

- 2.6 The Council's annual spend on Staffing in 2015/16 was £105M (including on costs E.g. national insurance). Spending on agency from Quarter 2 over the past full year represents 6.61% of these annual staffing costs. The areas of greatest spend within the Council remain in Dorset Waste Partnership (DWP) and Children's Services. Agency costs in DWP are incurred to meet operational needs arising through vacancies and staff absence for leave and sickness. In Children's Services the commentary explains that agency workers are being used predominantly in Children's Social Work where there are a large number of vacancies and to cover staff absence. The commentary describes the work underway to respond to national recruitment difficulties in this area.

Headcount & FTE Figures, Agency and Consultancy Spend, Quarter 1 2016/17 Directorate Summary

3. Public Health

- 3.1 Public Health is a merged service, hosted by the County Council on behalf of the three local authorities - Bournemouth, Poole and Dorset.
- 3.2 Quarter 2 shows a minor fluctuation in headcount. The increase in spend within public health on agency staff reflects the employment of an agency worker to lead on the development of public health data and intelligence using ring fenced resources for this purpose. Spend on consultancy work reflects the use of short term and temporary specialist skills and capacity where required to deliver agreed work plans and projects.

4. Adult and Community Services Directorate

- 4.1 Quarter 1 shows a slight decrease in headcount overall which reflects the active management of vacancies following significant restructuring in adult care services.
- 4.2 There has been an increase in overall spend on agency staff compared to Quarter 2. Agency staff have been used from April through to the end of October to cover temporary Social Work vacancies in locality and hospital teams (planned spend to provide short term capacity during the transition to a new structure). Agency workers have also been used to provide operational cover where there are hard to fill front line posts pending recruitment. Examples of hard to recruit posts are Social Worker, Area Practice Manager, and Continuing Health Care Advisor (to manage funding decisions for service users with both health and social care needs). Agency staff have also been used to cover front line critical business support roles (local social care team based Case Support Co-ordinator roles) pending recruitment.

The Directorate also has some agency placements in senior leadership and commissioning roles, to lead strategic commissioning for Support at Home, Residential and Nursing Care Home services, Reablement Services, Prevention and Community Development work and oversight for the Better Care Fund. These placements are funded by not filling permanent vacancies. The decision not to recruit permanently into these roles ensures we have the right skills for the current work priorities whilst retaining flexibility as staffing structures are reviewed as part of local government reorganisation and whilst work continues to deliver a more integrated health and social care system.

There has been an increase in external advisor costs to £20.2K for the quarter. £10k of this is in relation to a sports project funded from the Olympic Legacy fund managed by the Health & Wellbeing Boards. Other spend relates to the use of temporary specialist expertise in Trading standards including the use of expert witnesses as part of case prosecutions.

5. Chief Executives Department

5.1 The number of FTE employed by the Department has decreased since Quarter 2. Agency spend has increased slightly since last quarter to cover operationally important vacancies pending restructuring, recruitment and maternity leave and to support the smarter computing project which enables staff to use technology to support greater work efficiencies.

5.2 Spend on consultancy fees is significantly higher than Quarter 1 at £261,000. This increase is due to the support being provided to the local government reform programme. These costs of £186.5K are incurred on behalf of all Dorset Councils and are recovered by the County Council through grant funding in support of the programme of work. Other spend includes external advisor support to a whole council Outcomes Based Accountability programme and Joint Scrutiny review.

6. Directorate for Environment and the Economy

6.1 Quarter 2 shows an increase in headcount (FTE) Quarter 1 This is due to a decision to increase directly employed skilled Road Workers in order to deliver capital funded projects in the most efficient and cost effective way.

6.2 An increase in Agency spend relates to support for the new Dorset Travel IT system and to the need to cover peaks in workload in operationally vital services such as Special Educational Needs Transport. Specialist agency staff are also used in buildings and construction where there are sometimes project related peaks in demand for specialist skills and more capacity is needed or where there is difficulty in recruiting to specialist engineering roles. Many of these costs are offset by fees and income.

6.3 Spend on external advisors has been in relation to specific expert advice. Examples are in respect of studies on surface water management, strategic routing and cross boundary studies, topographical studies and consultancy to support projects such as the Weymouth Town Centre Masterplan and Western Growth Corridor Partnership.

7. Children's Services

7.1 The number of directly employed staff has decreased in Quarter 2 compared to Quarter 1 from 1364 to 1115. This is largely due to the restructuring of services which came into effect on 1 September 2016. Spend on agency staff has increased

by 45% compared to Quarter 1 and spend on consultancy has fallen by 13% over the same period.

- 7.2 Agency staff continue to be used in all parts of Children's Services. A small amount of agency spend is budgeted for each year. The majority of agency spend still remains within family support, now called Care & Protection. This is due to the on-going difficulty to recruit to some social worker posts. This continues to be a national issue and Dorset, along with other authorities, has been affected. Children's Services continues to employ a number of agency social workers to meet safeguarding requirements.
- 7.3 In the last quarter there has been an increase in agency spend of £294.3K to £938.5K for Quarter 2. There continues to be a significant number of vulnerable families that Children's Services are working with and a need for social workers to work with these families. The on-going difficult recruitment market issues have meant that agency workers have remained part of the social work teams.
- 7.4 At the end of September there were 45 agency workers engaged by the Children's Field Social Worker team. They are being used to cover vacancies, maternity leave, longer term sickness and to help manage and reduce caseload numbers.
- 7.5 A new Family Support delivery model was implemented on 1 September 2016; the service is now called Care and Protection. A number of recruitment phases were used to recruit to the new structure and it was anticipated that there would be some vacancies left at the end of the process. This has proved the case now that the new structure is in place and explains the rise in agency staff in order to cover the remaining vacancies.
- 7.6 A range of strategies continue to be used to combat the on-going challenges with recruiting social workers. Children's Services is continuing to use the dedicated recruitment site for Social Workers for Adults and Children's Services which was set up earlier in the year. In addition to this, Children's Services are participating in the first Department for Education's Step Up to Social Work campaign which fast tracks the development of qualified social workers. Work is continuing on the development of a Pan-Dorset Health & Social Work and Health Care Academy with Bournemouth & Poole to help develop further social workers. Children's Services has also had a presence at key events to promote working and living in Dorset such as the recent Community Care Roadshow in London This has led to one confirmed application and several leads which are still being followed up. An open day was held for potential candidates during the last week of October with 15 attendees including step up students from Bournemouth University.
- 7.7 Agency staff are only sourced on a critical needs basis. For Children's Services this includes ensuring adequate resources for safeguarding children and meeting statutory requirements. Budget is identified and monitored and agency requests and orders are subject to approval by senior managers.
- 7.8 The use of agency staff and agency spend is regularly monitored by the Children's Services Leadership Team.
- 7.9 Consultancy costs have decreased as expected by £12.2k in the previous quarter for Children's Services to £81.4K for quarter 2.
- 7.10 The Directorate's key change management programme continues to be Forward Together for Children and it is this programme which is supported by consultants.

The level of spend is expected to reduce further as we move through the 2016-17 financial year as the phase of the Forward Together for Children that required consultancy support comes to an end. The programme is now working on multiple work streams. This continues to be very much on an 'invest to save' basis. The programme is aimed at improving practice whilst realising efficiencies; to achieve this it is necessary to get an external view and the consultants continue have a role in helping to drive the programme forward. This includes adopting an outcomes based approach focussing on the best outcomes for children and young people which is now being rolled out across the directorate and the council as a whole.

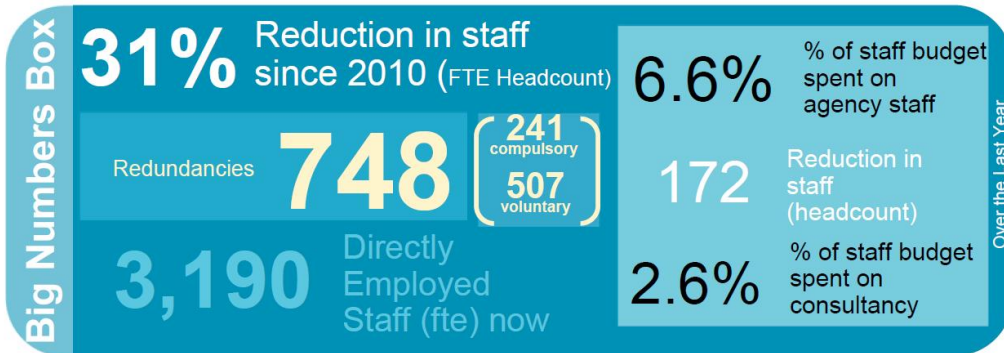
8. Dorset Waste Partnership

- 8.1 There has been a slight decrease in directly employed staff between Quarter 2 and Quarter 1. Agency spend has increased by 10.8% compared to Quarter 1 due to an increased need to cover operational vacancies and absence including sickness absence. There has been a significant decrease in spend on external advisors within the Partnership.
- 8.2 Agency staff in DWP cover posts deliberately held vacant as the service reorganisations settle down and efficiencies of operation are realised. Some spend is to cover holiday and sickness absence. Whilst there are benefits in maintaining a permanent establishment, calculations show that the costs of an agency operative are no more than the direct cost of employing an operative in this area.
- 8.3 Along with Children's services DWP has the highest spend on agency staff in the Council. The services DWP run are labour intensive, and there is a need to ensure adequate numbers of skilled front line staff are available every day to run the service.

Debbie Ward
Chief Executive

November 2016

DCC Staffing SNAPSHOT



Spent on direct employees, agency staff and consultancy over the last year

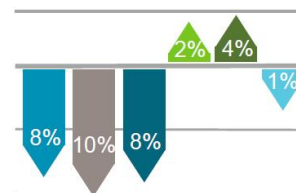


Source: 2015/16 for direct employees Agency and Consultancy Q3 & Q4 2015 and Q1 & Q2 2016.



Source: Headcount Q2 2016/17 by directorate.

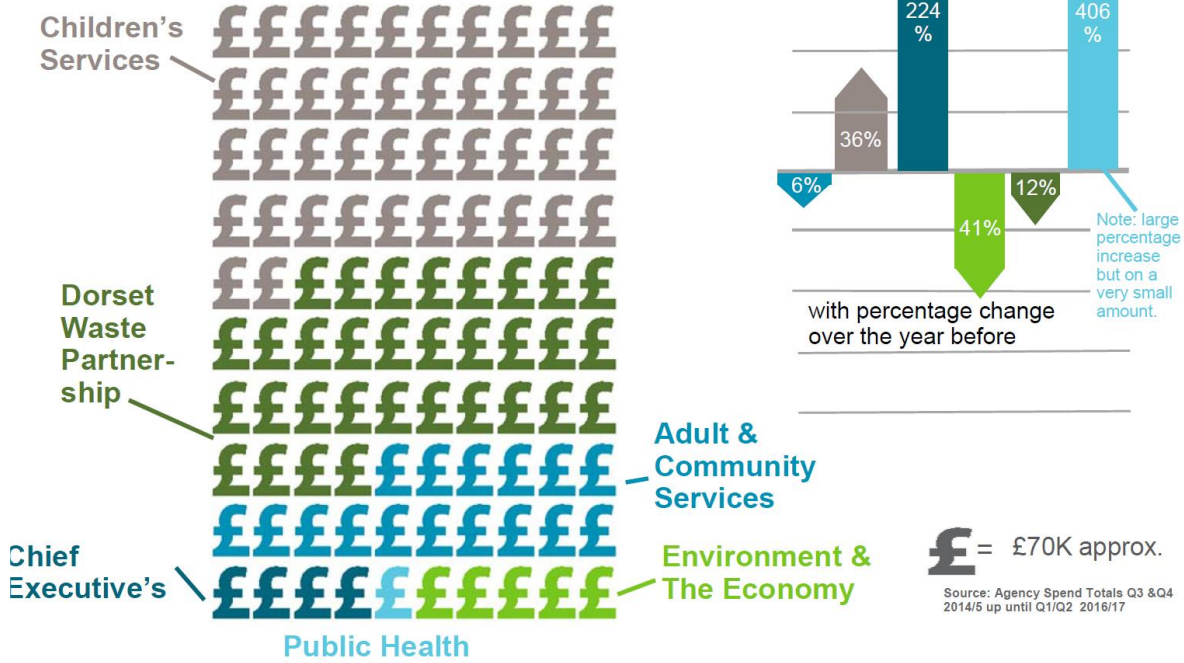
Numbers of Directly Employed Staff by Directorate (fte's)



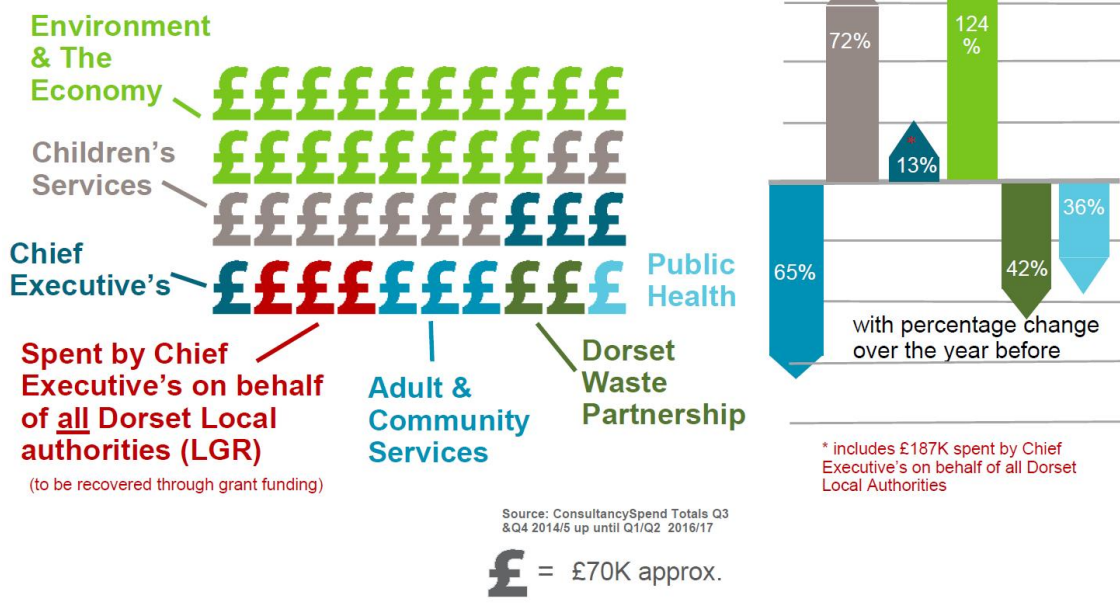
with percentage change over the last year

Source: Headcount Q2 2016/17 compared to Q2 2015/16 by directorate. (rounded)

Current **AGENCY** spend over the last year—by directorate
£6.9 Million



Current **CONSULTANCY** spend over the last year—by directorate
£2.7 Million



DCC - Monthly Figures Headcount & FTE - Q2 2016/17

Figures exclude elected members, casual workers, contractors, agency and freelance workers.

Directorate	Service	30 Jun 2016		31 Jul 2016		31 Aug 2016		30 Sep 2016	
		Headcount	FTE	Headcount	FTE	Headcount	FTE	Headcount	FTE
Adult & Community Services	Adult & Community Services Management Team	2	2.00	1	1.00	1	1.00	1	1.00
	Adult Care	424	357.92	427	358.76	441	372.43	439	368.15
	Early Help & Community Services	365	166.75	364	168.06	421	219.96	414	218.74
	Partnerships and Performance	160	141.18	156	135.46	0	0.00	0	0.00
	Business Development and Performance	0	0.00	0	0.00	36	27.09	39	30.09
	Care Act Programme	0	0.00	0	0.00	0	0.00	5	5.00
	Commissioning - Adult Care and Carers	0	0.00	0	0.00	10	10.00	9	9.00
	Commissioning - LD, MH, Housing & Prevention	0	0.00	0	0.00	6	5.43	6	5.43
	Safeguarding and Quality	0	0.00	0	0.00	36	30.28	34	28.44
Adult & Community Services Total		950	666.85	948	663.28	951	666.19	947	665.85
Children's Services	Children's Services Director and PA	1	1.00	1	1.00	1	1.00	1	1.00
	Learning & Inclusion	447	322.68	446	321.69	447	319.61	0	0.00
	Strategy, Partnerships & Performance	310	234.65	309	236.76	306	234.54	0	0.00
	Family Support	593	327	582	316	568	305	0	0.00
	Care and Protection	0	0	0	0	0	0	491	343.82
	Design & Development	0	0	0	0	0	0	209	155.04
	Partnerships & Prevention	0	0	0	0	0	0	414	321.75
Children's Services Total		1,351	885.24	1,338	875.01	1,322	859.77	1,115	821.61
Chief Executive's Department	Chief Executive's Management Team	4	3.76	4	3.76	4	3.76	3	2.76
	Emergency Planning	4	4.00	4	4.00	4	4.00	4	4.00
	Financial Services	120	104.52	115	99.59	115	99.83	114	98.83
	Human Resources & Organisational Development	132	109.57	132	108.95	130	107.95	131	109.35
	ICT and Customer Services	226	208.11	219	201.36	220	202.26	221	204.66
	Legal & Democratic Services	47	42.22	47	42.22	46	41.34	45	40.74
	Corporate Development	81	71.92	79	69.92	78	68.92	79	69.97
Chief Executive's Department Total		614	544.10	600	529.80	597	528.06	597	530.31
Environment & the Economy	Environment & the Economy Services Management Team	2	2.00	2	2.00	2	2.00	2	2.00
	Business Change	4	3.09	5	4.09	5	4.09	5	4.09
	Economy	494	292.60	490	289.63	489	289.87	488	290.71
	Environment	228	209.62	225	206.76	226	207.76	230	211.33
	Highways	275	268.32	282	274.97	278	270.97	284	277.97
Environment & the Economy Total		1,003	775.63	1,004	777.45	1,000	774.69	1,009	786.10
DCC TOTAL (Excluding Dorset Waste Partnership & Public Health)		3,918	2,871.82	3,890	2,845.54	3,870	2,829	3,668	2,804
Dorset Waste Partnership*	373	366.09	365	358.09	361	354.14	360	353.19	
Public Health*	40	35.44	41	36.44	40	35.44	40	35.57	
DCC TOTAL (Including Dorset Waste Partnership & Public Health)		4,331	3,273.35	4,296	3,240.07	4,271	3,218	4,068	3,193

*Support capacity for the Dorset Waste Partnership & Public Health in areas such as HR/Payroll appears on the main service establishments.
Further information regarding changes to headcount and FTE figures can be found in the 'Commentary' worksheet.

Schools - Teaching	2,207	1,872.70	2,200	1,864.58	2,199	1,863.78	2,191	1,869.04
Schools - Support	4,311	1,830.76	4,151	1,776.67	4,129	1,771.38	4,254	1,825.45
SCHOOLS TOTAL	6,518	3,703.46	6,351	3,641.25	6,328	3,635.16	6,445	3,694.49
DCC & SCHOOLS TOTAL	10,849	6,976.81	10,647	6,881.32	10,599	6,853.45	10,513	6,887

Appendix 3

Directorate	Consultancy										Agency									
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
	2014/15	2014/15	2014-15	2014-15	2015-16	2015-16	2015-16	2015-16	2016-17	2016-17	2014-15	2014-15	2014-15	2014-15	2015-16	2015-16	2015-16	2015-16	2016-17	2016-17
	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k	£k
Adult & Community	11.7	99.1	89.3	147.1	150.4	208.2	91.2	98.4	0.6	20.2	185.50	268.9	289.5	367.9	273.8	226.1	189.8	309.2	264.2	325.9
Chief Executives & Cabinet Including Corporate Resources	57.6	67.4	132.7	125.1	11.9	96.6	241.3	53.6	73.8	261.5	21.80	15.5	28.5	32.4	15.5	26.7	63.6	95.3	40.2	67.7
Childrens Services - non schools budget	68	94.8	106.1	162.8	89.2	54.6	100.5	192.1	93.6	81.4	56.30	279.4	344.6	592.8	522.5	713.2	597.1	794.2	644.2	938.5
Environment	61.3	309.6	108.4	142.0	57.1	239.3	142.1	612.3	279.5	192.3	144.60	170.9	170.4	157.2	106.2	143.0	86.2	57.7	89.4	106.6
Sub total	198.6	570.9	436.5	577.0	308.6	598.7	575.1	956.4	447.5	555.4	408.20	734.7	833.0	1,150.3	918.0	1,109.0	936.6	1,256.5	1,038.0	1,438.7
Dorset Waste Partnership	41.6	34.5	39.4	83.1	67.0	17.6	52.5	55.3	8.5	4.8	631.30	814.2	646.7	568.8	582.4	752.4	481.5	574.5	563.6	624.5
Public Health	0	58.8	40.9	26.4	2.3	31.7	14.4	12.1	29.4	9.0	0.00	0.0	0.0	0.0	5.8	0.0	0.0	1.8	1.0	27.6
Total	240.2	664.2	516.8	686.5	377.9	648.0	642.0	1,023.8	485.4	569.2	1039.50	1,548.9	1,479.7	1,719.1	1,506.2	1,861.4	1,418.1	1,832.7	1,602.6	2,090.8

Staffing Committee

Dorset County Council



Date of Meeting	22 November 2016
Officer	Head of Human Resources and Organisational Development
Subject of Report	Management of Attendance 2016/17 – Quarter 2
Executive Summary	<p>A mixed performance this quarter with some Directorates achieving sickness absence reductions whilst others report rises. Overall, the sickness rates have increased by 0.07 days to 8.83 days this quarter.</p> <p>Support Services has seen sickness rates decrease for the fifth consecutive quarter. Environment and Economy have reduced sickness by 0.6 days this quarter due to reductions in long term sickness in Highways. Public Health sickness has fallen to 3.88 days.</p> <p>Dorset Waste Partnership sickness has increased by 1.22 days this quarter with a high number of employees absent long term. Both Children's and Adult and Community services sickness absence has increased by 0.61 and 0.27 days respectively. Corporate Development has seen a rise in sickness as a result of a few short term absences.</p> <p>Current sickness rates stands is 2% higher than last year's levels (September 2016 compared with a September 2015). Historically sickness levels rise and fall, but a sustained reduction has not been achieved in most (but not all) Directorates. Whilst quarters 2 and 3 2015 saw successive sickness reductions across DCC, the last three quarters has seen increases.</p> <p>Staffing Committee will be asked for their data reporting preferences for sickness absence reports. The current sickness reports includes data for employees who have left the organisation in the last twelve months. As an alternative, we could report on current employee's sickness data only (excluding</p>

Management of Attendance 2016/17 – Quarter 2

	leavers). This will be an item of discussion at the committee meeting.
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>No separate EQIA has been conducted / required although the County Council's policy on the management of attendance is itself subject to EQIA considerations.</p>
	<p>Use of Evidence:</p> <p>The report is wholly evidence based. Sickness targets have been established on a common basis applicable to all categories and groups of staff.</p>
	<p>Budget:</p> <p>There are no direct costs implications arising from this report. The rolling 12 month sickness absence show an annual cost of £2 million for DCC (excluding schools) based on current reporting. This amount does not cover the cost of additional temporary staff where necessary.</p>
	<p>Risk Assessment:</p> <p>No specific decision is requested in the relation to this report. The associated risk is low.</p>
	<p>Other Implications:</p> <p>Not applicable.</p>
Recommendation	<p>It is recommended that Staffing Committee:</p> <p>(i) consider the organisational and directorate commentary</p> <p>(ii) consider the organisational initiatives to reduce sickness absence</p>
Reason for Recommendation	To ensure the effective management of attendance within the authority
Appendices	<p>Appendix 1: Quarterly Directorate Sickness Report</p> <p>Appendix 2: Quarterly Sickness report – target v actual</p>
Background Papers	None
Officer Contact	<p>Name: Paul Loach, HR Business Partner</p> <p>Tel: 01305 225189</p> <p>Email: paul.loach@dorsetcc.gov.uk</p>

Management of Attendance 2016/17 – Quarter 2

1. Introduction

- 1.1 This report considers quarter 2 sickness data (July to September 2016) and makes reference to DCC's quarterly and annual sickness data trends.

2. Quarterly Changes in sickness absence (Q1 16/17 to Q2 16/17): Headlines

The headline quarterly changes are stated in the Executive Summary.

3. DCC sickness absence: a yearly perspective

Table 1: Sickness absence in DCC for the last year

Date	DCC Non Schools (excl. DWP + PH)	DCC Non Schools (incl. DWP + PH)
September 2015	8.64	9.00
December 2015	8.46	8.74
March 2016	8.52	8.84
June 2016	8.76	9.35
September 2016	8.83	9.53

4. Long Term v Short Term sickness absence within DCC

- 4.1 DCC continues to have higher levels of long term sickness than short term sickness. Long term absence stands at 5.18 days per fte and short term at 4.35 days per fte.
- 4.2 The highest ratios of long term sickness (as compared to short term) are in Dorset Waste Partnership and Children's Services.
- 4.3 The highest ratios of short term sickness absence (as compared to long term) are in the Chief Executives Department and Public Health.

5. Ill health retirements and dismissals

- 5.1 For the twelve month period (Q3 2015 to Q2 2016) DCC actioned 26 dismissals due to medical incapability plus 4 ill health retirements. This compares with 23 dismissals and 2 ill health retirements for (Q2 2015 to Q1 2016). For each individual directorate:-

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- Adult and Community Services actioned 2 dismissals due to medical incapability and 1 ill health retirement.
- Children’s Services actioned 7 dismissals due to medical incapability and 1 ill health retirement.
- Economy and Environment actioned 9 dismissals due to medical incapability and 1 ill health retirement.
- Chief Executives actioned 4 dismissals due to medical incapability and 1 ill health retirement.
- Dorset Waste Partnership (DWP) actioned 4 dismissals due to medical incapacity but no ill health retirements.

6. Table 2: Reasons for sickness absence across DCC: (Q2: June 2016 to Sept 2016)

Sickness Category	% of Absence this quarter (Q2 July 16 - September 16: Summer)	Cost this quarter (salary costs only)
Mental Health	27%	£165,158
Musculoskeletal	27%	£133,719
Digestive	10%	£54,154
Ear Nose Throat	8%	£38,941
Cancer Tumours	6%	£37,161
Nervous system	6%	£33,333
Reproduction / Urinary	6%	£28,402
Respiratory	5%	£22,943
Cardiovascular	3%	£12,799
Other reasons	2%	£12,313
Total	100%	£538, 923

Note:

- i) Mental Health: includes stress, anxiety, depression, other mental health
- ii) Musculoskeletal: includes neck, back, strains, sprains, carpal tunnel, RSI, frozen shoulder, arthritis and rheumatism

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7. Directorate Management Team Commentary

Directorate Management Teams have provided commentary through their HR Business Partners on their Q1 performance for managing sickness absence:-

7.1 Adult and Community Services Directorate Management Team Commentary

Actual: 8.94

Target: 7.11

- 7.1.1 Sickness figures have risen in Quarter 2 when compared with Quarter 1. There has been a rise in average days lost per FTE over a 12 month period to 8.67 days lost per FTE in Quarter 1. This sickness level exceeds the current target for 2016/17 of 7.11 days lost per FTE.
- 7.1.2 Following the departure of the Head of Service for Partnerships and Performance there has been a transfer of functions between service areas and a broadening and realigning of the Directorate Management Team. This has led to changes in the reporting of sickness data and a need to review sickness targets within the Directorate. New targets have been agreed. There are areas of the Directorate where sickness absence is lower, for example in the Hospital Teams, Brokerage, Commissioning, and Library and Registration Services.
- 7.1.3 Work continues to further analyse and understand the reasons for sickness and patterns in teams where sickness is higher. The leadership team is also looking at what interventions could promote and improve staff engagement and wellbeing alongside ensuring that sickness management policies are consistently applied. Currently the highest areas of sickness are within the finance team and frontline adult care teams including staff working within safeguarding triage and with the mental capacity act and deprivation of liberty cases.
- 7.1.4 Sickness management remains a priority in managing Directorate performance and features prominently as part of the Directorate's performance management framework going forward.

7.2 Children's Services Directorate Management Team Commentary

Actual: 10.12

Target: 6.75

7.2.1 Care and Protection

On the 1st September, the Family Support service was replaced by Care and Protection in the Children's Directorate. This has led to staff transferring both within Care and Protection and out into Prevention and Partnerships. New staff groups including Business support and the Safeguarding and Standards service have come together in Care and Protection for the first time. It is important to understand the context within which the current attendance figure of 13.5% sits, primarily the current figure does not represent the current Care and Protection figure. Instead it reflects the past sickness history of staff in previous structures over the last year and the current staff who have recently joined in the past eight weeks.

- 7.2.2 Action is currently being carried out to ensure that all sickness records are located where the individual member of staff is located. All managers are currently involved in cleansing the data and where there are sickness issues that these matters are addressed in the current round of PDRs. There are a number of individuals within the

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old family support structure who have high sickness levels whose sickness is being actively monitored and performance managed through HR processes. This includes three staff members where their children are seriously ill as a result of chronic sickness and one individual who was involved in a serious car crash while on duty for the county council.

7.2.3 This month, HR will deliver training to the entire management team on how to manage attendance. This will be followed up by a whole management day on the new capability procedures. In addition, at the monthly budget slots for all team managers with the Assistant Director and Lead accountant, each Team manager must bring a full update on all staff sickness, competency issues, vacancies and agency. This means that a holistic overview of context of the budget spend can be understood. It is envisaged that a full analysis of the overall attendance performance data will be provided for the next reporting cycle.

7.2.4 **Prevention and Partnerships**

On the 1st September, the Learning & Inclusion service was replaced by Prevention and Partnership in the Children's Directorate. The creation of this wider service with a new arm, Early Action, has led to significant movement of staff. New staff groups including business support and the Special Educational Needs and Disability (0-25) service have come to be managed together for the first time. It is therefore important to note the context for the current attendance figure, which reflects different approaches to the management of sickness across diverse groups of staff, some within the old Learning & Inclusion service and some recently joined.

7.2.5 The Prevention and Partnership management team has had its first discussion on necessary actions, including tightening up on the recording of sickness and implementation of appropriate procedures on return to work. As in all parts of the Council, there are a number of long-term sicknesses which need to be managed sympathetically but robustly. Further development work is planned with key managers to ensure a planned and managed approach. This will include sickness reports being a regular subject of all monthly 1/1 sessions.

7.2.6 **Change Management & Planning**

Change Management & Planning monitor sickness using the Sickness Absence Management Policy. This includes return to work interviews and applying the different stages of the process for prolonged and persistent sickness. Long term sickness for a small number of staff has impacted upon the sickness levels. This is being monitored by managers and supported through OH and HR.

7.2.7 **Strategy, Service Planning and Commissioning**

Overall the team sickness levels have been good, and the team have been well supported and committed. We have one member of the team who is on long term sick currently, and the sickness policy is being followed. There are regular catch up meetings, and they are due to return to work on a phased return soon.

7.3 **Chief Executives Department - Corporate Development Commentary**

Actual: 5.97

Target: 4.50

7.3.1 Sickness has increased this quarter and is now above target. There have been a few short term absences due to ear, nose and throat viruses last quarter, which are now resolved. The completion rate for return to work interviews within the team remains very good.

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7.4 Chief Executives Department - Support Services Management Team

Commentary

Actual: 6.27

Target: 5.94

- 7.4.1 Support services absence has reduced absence levels for the fifth consecutive quarter.
- 7.4.2 Financial Services sickness has reduced by 0.34 days this quarter due to reductions in the Treasury and Pensions absence. The majority of Financial Services has lower absence levels but the average is adversely affected by this one area. HR and OD have reduced absence levels by 0.97 days in six months to 5.41 days and absence is now below target level. Dorset Direct sickness has reduced sickness by 4.9 days in six months to 14.33 days this quarter. An action plan is in place for every employee who reaches a sickness trigger. Further reductions in sickness are anticipated in Dorset Direct as the historic data begins to reflect recent leavers.
- 7.4.3 ICT and Customer services (excluding Dorset Direct) have achieved an absence rate of 4.33 days per fte with few long term absences. Legal and Democratic Services has an absence rate of 3.41 days per FTE, well below the 5.00 day target.

7.5 Environment and Economy Commentary

Actual: 9.13

Target: 7.65 days

- 7.5.1. There has been a significant sickness absence reduction of 0.60 days this quarter to 9.13 days within the Directorate. Highways in particular shows a large quarterly reduction from 10.22 to 8.65 days, due to a reduction in long term sickness. Environment sickness has reduced to 6.45 and remains well within the 7.00 days target.
- 7.5.2 In both Economy and Crew and Compliance sickness has marginally risen this quarter, and long term sickness is the area of concern for both areas.
- 7.5.3 Dorset Travel Team Passenger Assistants, who accompany children with special needs to and from school, have high levels of sickness. An insight into reasons for sickness absence is provided below.
- 7.5.4 **Table 3: Passenger Assistant: Sickness Reasons and Costs (Oct 2015 – Sept 2016)**

A number of actions have or are being taken to reduce Passenger Assistant's sickness absence.

An extensive programme of manual handling training is already in place, but Health and Safety and Wellbeing are reviewing other measures which could help. Public Health are running training courses on resilience and stress management which are being offered to Passenger Assistants. Anti-bacterial hand wash is already provided, as is guidance on reducing infection from coughs and sneezes.

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Role	Sum of Pro Rata Days Lost Q2	Sum of Sickness Cost Q2	Sum of Pro Rata Days Lost Short Term Q2	Sum of Pro Rata Days Lost Long Term Q2
Passenger Assistant	1,147.99	29,603.23	425.07	722.92
OTHER MUSCLOSKELETAL	241.93	5,738.75	59.92	182.02
STRESS	204.23	6,207.43	21.75	182.48
RESPIRATORY	151.92	3,491.07	93.51	58.42
NECK/BACK PROBLEMS	128.59	4,057.69	50.01	78.58
ANXIETY/DEPRESSION	103.33	2,807.38	6.28	97.04
DIGESTIVE SYSTEM	84.49	2,217.74	84.49	0.00
MISCELLANEOUS	76.03	860.65	8.43	67.60
CANCERS/TUMOURS	56.60	1,720.77	30.73	25.87
EAR,NOSE, THROAT AND	32.23	930.71	32.23	0.00
RSI/UPPER LIMB DISOR	24.44	569.78	3.87	20.57
OTHER MENTAL HEALTH	12.94	186.15	3.04	9.89
NERVOUS SYSTEM	11.19	278.39	11.19	0.00
SKIN RELATED	4.30	100.59	4.30	0.00
REPRODUCTIVE AND URI	3.74	97.55	3.74	0.00
RHEUMATISM/ARTHRITIS	3.35	90.02	3.35	0.00
STRAINS/SPRAINS	2.63	76.15	2.63	0.00
ENDOCRINE/GLANDULAR	2.38	64.38	2.38	0.00
INFECTIOUS DISEASES	2.14	64.72	2.14	0.00
CARDIOVASCULAR	1.05	32.30	1.05	0.00
CARPAL TUNNEL SYNDROME	0.45	11.01	0.00	0.45

7.6 Dorset Waste Partnership Commentary

Actual: 15.66

Target 9.74

- 7.6.1 Sickness within DWP is dominated by sickness within operations who make up the majority of the DWP workforce. This is a manual depot based workforce consisting of drivers, loaders and street cleansers who work outdoors in all weather conditions. Reasons for sickness are typical for a manual based workforce with high levels of ENT and muscular skeletal related sicknesses, and other serious medical conditions, heart attacks, etc... DWP has introduced stringent absence management procedures that have been successful in bringing down short term sickness. Depot supervisors and managers have all been trained and briefed and are dealing with all sickness cases through the sickness meetings and monitoring when triggers are hit. A savings target of £100K was achieved last year as a result of bringing short term sickness down.
- 7.6.2 However the number of long term sickness cases is increasing – not because cases are not being dealt with – but as cases are closed or staff leave – new cases present themselves. Most of the long term cases involve Occupational Health referrals and

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this can take some time – so prolonging the sickness absence. There have been cases of long term sickness outside operations including a broken leg and infection though both have now returned to work. Some long term sickness cases are due to stress and this can be home or work based. Where this is work based these are investigated. Stress related absence can also be caused where staff are going through the disciplinary process. Some staff also have poor literacy skills or low educational attainment and find the disciplinary and absence management processes complicated and intimidating. In some depots there is a culture of poor behaviours, language and conduct, and we have been working hard on addressing poor behaviours using examples of good behaviours and a staff survey to raise awareness. The DCC well-being team will be visiting depots to talk about general health, diet etc.

7.6.3 This quarter (but all in August) there have been 8 absence management cases in total: 2 with 1st written warning and 1 having a final written warning and the rest are not recorded as they are still active.

7.7 Public Health Commentary

Actual: 3.88

Target: 4.50

7.7.1 Sickness levels in Public Health have dropped since Quarter 4 and Quarter 1. Sickness levels remain under target for 2016/17. Public Health continues to have one of the lowest rates of both short term and long term sickness in the organisation. The Director of Public Health and the management team are continuing to monitor and review the detail of all sickness to ensure that trends are identified and that individual issues are effectively managed.

8. Organisational initiatives to reduce sickness absence

8.1 Public Health courses are being specifically targeted at roles and services with higher levels of absence due to stress or mental health conditions:-

Table 4: Targeted Mental Health and Wellbeing Interventions

Course Title	Learning Objectives
Mental Health Awareness (1hr 30mins)	Spot the early signs of a mental health problem Understand the basic issues about mental health and how they affect us all. Feel confident helping someone experiencing a mental health problem Provide help on a first aid basis Help prevent someone from hurting themselves or others Help stop a mental illness from getting worse Help someone recover faster Guide someone towards the right support Reduce the stigma of mental health problems.
Managing Stress (1hr 30mins)	Linking to personal and team resilience and coping with change Change Cycle Understand the basic issues about mental health and how they affect us all.
Mindfulness (1hr 30mins)	Understand the beliefs of practising Mindfulness Understand the different techniques

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	Understand the basic issues about mental health and how they affect us all.
5 Ways to Wellbeing (1hr 30mins)	Understand what each of the 5 Ways are and identify their potential in improving wellbeing. Understand the basic issues about mental health and how they affect us all. Reflect on your own wellbeing and the wellbeing of your team. Identify how you can use the 5 ways to build your resilience and the resilience of your team members.

9. Choice of data parameters for future Staffing Committee reports

- 9.1 There is one data source for sickness absence data which is DES.
The data parameters used to inform the data reports have been in place for a number of years. The table below provides an overview of the current and proposed data parameters:-

Table 5: Sickness Absence Reports: Data Parameters

Question / Comment	Current DES report	Proposed DES report
Includes sickness data from current employees	Yes	Yes
Includes sickness data from employees who have left DCC	Yes	No
Officer time to formulate the data reports	1-2 <u>days</u>	1-2 <u>hours</u>
Report type	Historic 12 month record which <u>includes</u> the sickness of leavers.	Historic 12 month record which <u>excludes</u> the sickness of leavers
Can trend analysis be shown	Yes	Yes

10. Comment / Observation

- 10.1 Previous quarters sickness absence reductions have not been consolidated and sickness levels are therefore comparable with last year. There remains trend volatility; for example Highways sickness levels which have been high for a while are now reducing. There have been similar reductions over time in Dorset Direct and Chief Executives Support Services. In contrast, other services including Dorset Waste Partnership are continuing to report absence rises.

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10.2 The recent initiative to invite Directors to personally present to staffing committee has been very positive. It has highlighted the importance attached to effectively managing sickness absence. We would like to extend this further by requesting additional one page written updates from teams with high sickness for inclusion in future committee reports.

11. Recommendations

- a) To change the data parameters as proposed in table 5 of the report.
- b) To retain the arrangements where a Director or nominated deputy, presents a report in person on managing sickness in their service. In addition, to request a one page summary from any team who continues to experience high sickness as required. This written report will be included as a report appendix.
- c) To review the data trends at future staffing committee meetings, at which time further interventions can be agreed.

Sheralyn Huntingford
Head of Human Resources and Organisational Development

November 2016

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Staffing Committee Quarterly Directorate Sickness Report - September 2016

The figures quoted below are calculated on a quarterly, rolling-year basis.

Annual Sickness Performance

FTE working days lost per FTE employee

Year	Target	Actual
2005 / 2006	8.00	8.16
2006 / 2007	7.50	8.48
2007 / 2008	7.75	8.27
2008 / 2009	6.85	8.74
2009 / 2010	8.20	7.98
2010 / 2011	8.20	8.26
2011 / 2012	8.09	8.33
2012 / 2013	7.69	8.38
2013 / 2014	7.81	7.36
2014 / 2015	7.20	8.24
2015 / 2016	7.15	7.30

Sickness Performance Targets 2015/16

FTE working days lost per FTE employee

Directorate	Target
Adult & Community Services	7.11
Children's Services	6.75
Environment & The Economy	7.65
Chief Executive's Department – PPC and Business Development	4.50
Chief Executive's Department – Support Services	5.94
Dorset Waste Partnership	9.74
Public Health	4.50
DCC (Non-Schools) (excl. DWP & PH)	6.87
DCC (Non-Schools) (incl. DWP & PH)	7.16

Actual Performance against Sickness Targets

FTE working days lost per FTE employee

Directorate	2014/15			2015/16			2016/17	
	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15	Mar 16	Jun 16	Sep 16
Adult & Community Services	9.80	9.92	9.77	8.40	7.68	8.09	8.67	8.94
Children's Services	10.09	9.84	9.87	9.71	9.42	9.23	9.51	10.12
Environment & The Economy	8.90	8.91	9.18	8.55	9.04	9.49	9.73	9.13
Chief Executive's Department - CD*	5.47	5.37	5.01	3.98	3.65	3.83	4.65	5.97
Chief Executive's Department - Support Services**	6.25	7.30	7.82	8.00	7.74	6.96	6.54	6.27
Dorset Waste Partnership	13.87	13.47	13.02	12.54	11.56	11.82	14.44	15.66
Public Health	3.36	3.51	4.70	5.37	4.28	4.42	4.10	3.88
DCC (Non-Schools) (excl. DWP & PH)	9.11	9.25	9.30	8.64	8.46	8.52	8.76	8.83
DCC (Non-Schools) (incl. DWP & PH)	9.48	9.56	9.57	9.00	8.74	8.84	9.35	9.53
Schools	6.13	6.61	6.99	6.73	6.56	5.96	5.96	5.58
Whole Authority	7.92	8.24	8.32	7.79	7.58	7.30	7.55	7.41

DCC Staffing Figures

Full-Time Equivalent (FTE) figures by Directorate

Directorate	2014/15			2015/16			2016/17	
	Dec 14	Mar 15	Jun 15	Sep 15	Dec 15	Mar 16	Jun 16	Sep 16
Adult & Community Services	1,515.85	1,510.55	1,466.07	724.44	705.68	688.93	666.85	665.85
Children's Services	917.78	934.19	939.08	911.23	902.47	893.62	885.24	821.61
Chief Executive's Department***	605.57	591.30	593.40	578.63	566.37	544.11	544.10	530.31
Environment & The Economy	817.13	796.01	800.19	774.17	769.06	784.87	775.63	786.10
Dorset Waste Partnership	371.45	358.45	340.01	340.64	358.09	361.09	366.09	353.19
Public Health	34.18	35.42	35.02	36.03	37.03	34.03	35.44	35.57
DCC (Non-Schools) (excl. DWP & PH)	3,856.33	3,832.05	3,798.75	2,988.47	2,943.58	2,911.53	2,871.82	2,803.87
DCC (Non-Schools) (incl. DWP & PH)	4,261.95	4,225.91	4,173.79	3,365.14	3,338.7	3,306.65	3,273.35	3,192.63

*This Directorate includes the following services; Corporate Development and the management team

**This Directorate includes the following services; Financial Services, Human Resources, ICT and Customer Services and Legal & Democratic Services

***This figure shows FTE Figures for the new Chief Executive's Department including Corporate Development, Policy, Partnerships & Communication, Financial Services, Human Resources, ICT and Customer Services and Legal & Democratic Services

Management of Attendance 2016/17 – Quarter 2

Quarterly Directorate and Service Sickness Report – Target vs. Actual

The below figures have been taken from DES as at 06 October 2016 for the period 1 October 2015 to 30 September 2016

Directorate	Directorate Target 2016/17 (Pro Rata days lost per FTE)	Directorate Actual (Pro Rata days lost per FTE)	Increased/decreased by	Pro Rata Days Lost per FTE (Long Term)	Pro Rata Days Lost per FTE (Short Term)	Service	Service Target 2016/17 (Pro Rata days lost per FTE)	Service Actual (Pro Rata days lost per FTE)	Pro Rata Days Lost per FTE (Long Term)	Pro Rata Days Lost per FTE (Short Term)	
Adult & Community Services	7.11	8.94	↑	0.27	4.61	4.33	Adult Care	7.75	10.89	5.81	5.08
							Business Development and Performance	5.00	4.80	1.20	3.61
							Change Programme	5.00	4.90	0.00	4.90
							Commissioning - Adult Care and Carers	4.50	2.39	0.00	2.39
							Commissioning - LD, MH, Housing & Prevent	4.50	4.03	0.00	4.03
							Early Help & Community Services	5.50	6.18	2.71	3.47
							Safeguarding and Quality	7.75	13.29	10.49	2.79
Children's Services	6.75	10.12	↑	0.61	6.02	4.11	Care and Protection	tbc	13.53	8.23	5.30
							Design & Development	tbc	2.60	1.27	1.34
							Partnership & Prevention	tbc	10.13	5.96	4.18
Chief Executive's Department – Corporate Development	4.50	5.97	↑	1.32	2.88	3.09	Corporate Development	4.50	6.16	2.99	3.17
Chief Executive's Department – Support Services (formerly Corporate Resources)	5.94	6.27	↓	0.27	1.97	4.30	Emergency Planning	N/A	0.00	0.00	0.00
							Financial Services	7.00	8.04	2.92	5.11
							Human Resources	5.75	5.41	1.55	3.85
							Dorset Direct	10.00	14.33	6.80	7.53
							ICT & Customer Services (excluding DD)	4.25	4.33	0.84	3.50
							Legal and Democratic Services	5.00	3.41	0.00	3.41
Environment & the Economy	7.65	9.13	↓	0.60	5.23	3.90	Business Improvement Team	N/A	2.06	0.00	2.06
							Crew & Compliance	10.00	12.75	7.88	4.87
							Economy (excluding C&C)	7.00	11.17	7.06	4.12
							Environment	7.00	6.45	3.17	3.29
							Highways	7.00	8.65	4.73	3.91
Dorset Waste Partnership	9.74	15.66	↑	1.22	9.22	6.44					
Public Health	4.50	3.88	↓	0.22	0.98	2.90					
DCC Total (excl. DWP& PH)	6.87	8.83	↑	0.07	4.72	4.11					
DCC Total (incl. DWP& PH)	7.16	9.53	↑	0.18	5.18	4.35					

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Staffing Committee

Dorset County Council



Date of Meeting	22 November 2016
Officer	Chief Executive
Subject of Report	Redundancy Costs – Quarterly Report
Executive Summary	<p>Costs relating to individual redundancies are approved by Directors. The Staffing Committee receive quarterly reports summarising the numbers and costs of redundancies, to provide an additional level of transparency and scrutiny to the decisions made.</p> <p>This report considers costs for redundancy dismissals effective from 1 July to 30 September 2016.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>No separate EqIA is required for this report although each restructuring exercise is itself subject to EqIA considerations.</p>
	<p>Use of Evidence:</p> <p>This report is based on data from redundancy dismissals effective from 1 July to 30 September 2016.</p>
	<p>Budget:</p> <p>There are no direct cost implications arising from this report, as costs shown have already been agreed by the Director. The report shows the costs, savings and average payback periods relating to redundancy dismissals in the period.</p>
	<p>Risk Assessment:</p>

Redundancy Costs – Quarterly Report

	<p>Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p>
	<p>Other Implications: None.</p>
Recommendation	<p>It is recommend that the Staffing Committee:</p> <ol style="list-style-type: none"> 1. Consider the costs reported in respect of redundancies.
Reason for Recommendation	To ensure the effective management and appropriate scrutiny of redundancy costs within the organisation.
Appendices	None
Background Papers	None
Officer Contact	<p>Name: Sarah Butcher, Principal HR & OD Adviser Tel: 01305 228505 Email: s.e.butcher@dorsetcc.gov.uk</p>

Redundancy Costs – Quarterly Report

1. Introduction

1.1. Directors make decisions in respect of individual redundancies. They are provided with details of:

- the business case for the review
- the reasons for redundancy and any attempts to mitigate this
- redundancy costs
- costs of early access to pension (where applicable)
- savings
- the payback period (the time it takes to recover any associated costs).

1.2. During any restructuring exercise, the Service is advised by Human Resources and Organisational Development (HR&OD) in relation to policy, procedure and employment law and by their Group Finance Manager in relation to costs and budget. The full business case is made available to the Director. The Group Finance Manager is involved in each business case and must be content to sign off the proposed costs on behalf of the Chief Financial Officer.

2. Costs/Savings for July to September 2016

2.1. The table below shows the costs associated with redundancy dismissals effective during the second quarter of the financial year, from 1 July to 30 September 2016.

Month	Total Number of Redundancies		Number including a capitalised pension cost	Total Costs	Total Annual Savings	Average Payback Period (months)
July	Chief Executives:	2	1	£47,982	£78,163	8
August	Chief Executives:	1	0	£9,359	£34,128	4
	Adult & Community Services:	1	1	£31,105	£32,142	12
	Children's Services: Environment & The Economy:	169	9	£473,251	£925,913	7
September	Chief Executives:	1	0	£11,587	£34,124	5
	Chief Executives:	3	1	£95,646	£77,766	15
	Children's Services: Environment & The Economy:	1	0	£36,548	£58,302	8
		2	1	£15,984	£23,074	9
Totals:		180	13	£721,462	£1,263,612	7

2.2. It is expected that costs should be recoverable within a maximum period of two years unless there are exceptional circumstances.

2.2.1. Whilst the average payback period for Children's Services in August is 7 months, one individual redundancy has a payback period of 4 years. This case related to the reconfiguration of the Youth Service (as did the majority of redundancies made in Children's Services this month) and redeployment was not found for this individual. In the exceptional case of a service closure resulting in a large number of redundancies, the Director approved the cost with a longer recovery period, balancing this against the wider savings of the service review.

2.2.2. One redundancy in Chief Executives, in September, has a payback period of just over 2 years (25 months). This related to the review of Accountancy where the overall payback period is 10.5 months. The Director approved the costs taking into account the overall savings and payback period of the review across the service.

2.3. During the period, there are no exceptional high value (e.g. £100,000 or more) redundancy packages to report.

3. Costs/Savings for the Financial Year to Date

3.1. The table below shows the total cumulative costs associated with redundancy dismissals for the financial year, from 1 April to 30 September 2016.

Number of Redundancies	Number including a capitalised pension cost	Total Costs	Total Annual Savings	Average Payback Period (months)
190	17	£940,258	£1,533,143	8

4. Future Considerations

4.1. As reported in the previous quarterly report, the government intended to implement a cap of £95,000 on public sector exit payments, under the Public Sector Exit Payments Regulations, in October this year. However, the regulations remain under consultation and it is now anticipated that they'll be in force early next year.

4.2. Regulations requiring the recovery of exit payments made to higher earning public sector employees (those with a salary of £80,000 or more) when they return to public sector employment within one year are still intended to come into force later this year. All staff will be updated when an implementation date is confirmed and the relevant processes and procedures will be reviewed to ensure they reflect government regulations.

4.3. The government has now also issued its response to further consultation on reforms to exit payments, which are in addition to those mentioned above. The government is planning to set a common framework of upper limits which should be applied when calculating redundancy payments, including action to limit or end employer-funded early access to pension on redundancy. This is likely to have a significant impact on staff at or above age 55 who would currently be able to access their pension without any actuarial reduction if made redundant. A further update will be provided when more detail is known about how local government employers are to take these proposals forward.

4.4. Financial Services are undertaking a review of guidance about when redundancy costs may be charged to the central contingency budget and when they should be considered a cost to the service. Currently redundancy cases 'arising from corporate restructuring processes' are substantively met by the contingency fund. It is anticipated that clarification about when the service will meet the cost will also lead to further scrutiny of redundancy costs during reviews. Updated guidance will be communicated to managers and Directors.

Sheralyn Huntingford
Head of Human Resources and Organisational Development

November 2016

Staffing Committee

Dorset County Council



Date of Meeting	22 November 2016
Officer	Chief Executive
Subject of Report	Social Networking Policy
Executive Summary	The social networking policy has been reviewed following the roll out of the Smarter Computing project and the introduction of the council's 'Sharepoint' intranet which provides greater opportunity for internal social networking. The policy is due for review, following its initial implementation in 2010.
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>A full EqIA was undertaken when the policy was initially introduced. The associated action plan is being reviewed by the Chief Executive's Diversity Working Group.</p>
	<p>Use of Evidence:</p> <p>Feedback regarding the existing policy has been gained from colleagues who have used the policy and from trade union colleagues.</p>
	<p>Budget:</p> <p>There are no financial implications arising from the proposal.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p>

Social Networking Policy

	Other Implications: None.
Recommendation	It is recommend that the Staffing Committee approve the revised policy to take effect from 1 January 2017.
Reason for Recommendation	The Staffing Committee oversee matters relating to staff terms and conditions and people management policies.
Appendices	Appendix 1 – Revised Social Networking Policy
Background Papers	None
Officer Contact	Name: Sarah Butcher, Principal HR & OD Adviser Tel: 01305 228505 Email: s.e.butcher@dorsetcc.gov.uk

1. Introduction

- 1.1. This report summarises the rationale for revising the existing social networking policy. A proposed new policy is attached.
- 1.2. The current policy has been in place since 2010. Changes are as a result of feedback from colleagues who are using the policy when managing concerns about inappropriate use of social networking.
- 1.3. The proposed changes reflect a modern workplace, following the roll out of the Smarter Computing project which introduced the council's new intranet 'Sharepoint'. Sharepoint provides and encourages a range of opportunities for internal social networking and many employees are using Sharepoint to share their personal opinions about council news.
- 1.4. Employees are able to publish blogs, news items and to update their personal profiles without the support of the council's Communications team. Whilst the Communications team can remove inappropriate comments, the expectation is on the individual employee to make appropriate use of the technology. Employees are now able to access the intranet across a range of mobile devices.
- 1.5. The revised policy provides clarification around:
 - appropriate use of social media in all its forms
 - appropriate use of working time
 - confidentiality and sharing of information posted on Sharepoint
 - the use of Sharepoint blogs
- 1.6. The revised policy has been developed in consultation with the council's Communications team and is designed to support associated guidance about appropriate use of Sharepoint.
- 1.7. The policy is being revised at the same time as a review of the Staff Code of Conduct to ensure a consistent message.

2. Next Steps

- 3.1 In order that the new policy is applied consistently, there will be communications to all staff, including via the all staff e-newsletter, the manager e-newsletter and a front page news item on Sharepoint. Managers will be expected to ensure that all staff are aware of the revised policy.

Sheralyn Huntingford
Head of Human Resources and Organisational Development

November 2016

Social Networking Policy

1. Introduction

- 1.1. Social networking is a common form of communication, both for personal and business purposes. This Policy sets out guidelines about employees' use of social networking, for business and for personal use.
- 1.2. The council's social networking policy helps protect the council's reputation as well as customers, partners and others connected with the council. It is important to maintain confidentiality and respect others' privacy.
- 1.3. Our values for working online are the same as those when working offline. Social networking must be undertaken in accordance with the [guidance on appropriate and inappropriate use of social networking sites](#); [guidance on the council's social media channels](#) and the ICT Services [Acceptable Use Policy](#).

2. Scope

- 2.1. This policy applies to all council employees, excluding schools based staff. A separate policy applies to schools based staff recognising the delegated powers of governing bodies.
- 2.2. This policy has been developed in consultation with the recognised trade unions.
- 2.3. For the purposes of this policy, social networking is defined as participating in any online forum where information can be shared instantly and publicly with any number of others. Examples include, but are not limited to, Facebook, Twitter and LinkedIn. This policy also covers participating in a blog and use of image sharing websites such as YouTube and Flickr.
- 2.4. This policy applies to external and internal social networking and includes the use of the council's intranet (Sharepoint) and Skype instant messaging.
- 2.5. This policy applies irrespective of how the social networking site is accessed including, but not limited to, access via work or personal computers, laptops, tablets or mobile phones.
- 2.6. The principles apply to both business and personal use, particularly where it may be possible to identify an individual as an employee of the council.

3. Key Principles

- 3.1. Employees may contribute to the council's social media activities, for example by [writing a blog](#) or managing a work related Facebook account, however employees must be aware at all times that they are representing the organisation. Employees should always obtain permission from their manager before embarking on a social media campaign and should do so with advice from the council's communications team. Unless it's part of their job, employees should use Sharepoint's blog function in their own time.
- 3.2. Employees talking online about work related matters within their area of job responsibility should identify themselves as a council employee just as they would do

so in a similar situation offline. Unless an employee is authorised to speak on behalf of the council, they should state that the views expressed are their own and should only refer to others connected with the council if they have first obtained their express permission to do so.

- 3.3. The reputation and / or business of the council, customers, partners or others connected with the council must not be brought into disrepute through use of social networking. This includes internal media, such as using Sharepoint to post news items or blogs.
- 3.4. Use of social networking sites must at all times be consistent with the council's duty to safeguard children, young people and vulnerable adults, in accordance with the Safeguarding Vulnerable Groups Act 2006 and the [guidance on appropriate and inappropriate use of social networking sites](#).
- 3.5. During the course of their work, employees using social networking sites for business purposes must maintain political neutrality and not indicate individual political opinions, in accordance with the [Code of Conduct for Staff](#). Where applicable, employees must take account of the political restrictions applying to their post. In this case, employees must maintain political neutrality whether use of social networking is for business or personal purposes.
- 3.6. Confidentiality of matters relating to Dorset County Council or others connected to the council must be maintained, so that the council is not exposed to legal risks covered by copyright, data protection, libel and Freedom of Information legislation. Employees are expected to understand that if information is not already public information, it should not be shared without express permission.
- 3.7. Employees must not use social networks to conduct themselves in a way which would otherwise be inappropriate in the workplace, for example by posting information which constitutes bullying or harassment, by uploading information which may be interpreted as discriminatory or of an otherwise offensive nature or by criticising customers or colleagues.
- 3.8. Whilst employees who make use of social media in a personal capacity are not acting on behalf of the council, employees must be aware that they can damage the council's reputation if they are recognised as being an employee. Where it may be possible to identify an individual as an employee of the council, it should be clear that information contained is the individual's personal opinion.
- 3.9. The intention of Sharepoint is that managers and staff can share their views in a safe environment. The council supports positive use of Sharepoint. It is for an employee to choose whether or not to post a comment on Sharepoint. Before doing so, they should refer to the guidelines for [commenting on the intranet](#).
- 3.10. Information shared internally on Sharepoint is not intended to be shared more publically, including the sharing of any comments with the media. External communications with the media are managed by the council's communications team.
- 3.11. When employees associate themselves with the council as their employer, for example on a Linked-in profile, they are responsible for ensuring that their profile is consistent with how they would wish to present themselves with customers and colleagues.

- 3.12. It is an individual's responsibility to read the terms of service of any social networking site they use and to ensure that any privacy settings about who might see the information are understood.
- 3.13. Council email addresses must not be used when posting comments on social networking sites where this is unrelated to work. The same applies to the use of any logo owned by or associated with the council on a personal site.
- 3.14. When using social networking sites, the right of freedom of expression applies only to lawful conduct. The council expects that employees will exercise consideration for the rights of others and for the reputation of the council.
- 3.15. Personal use of social networking sites should not be undertaken during working time, as outlined in the [ICT Acceptable Use Policy](#).
- 3.16. Employees' use of social networking for work related purposes must not be disproportionate use of working time and must not be to the detriment of their substantive duties. Managers are expected to ensure that employees are using their time effectively and to raise any concerns with individuals.
- 3.17. The council reserves the right to monitor employees' internet usage in relation to time spent on social networking sites. Internet usage may be monitored where there is reason to believe that the employee has acted in breach of this policy. If an employee posts an inappropriate comment on Sharepoint, their manager may be alerted.

4. Disciplinary Action

- 4.1. Use of social media which is not in accordance with this policy or other council policies may amount to misconduct or gross misconduct under the [disciplinary policy and procedure](#), including use which constitutes bullying or harassment of another employee.
- 4.2. Where there is an impact on the safeguarding of children or vulnerable adults, the [managing allegations guidance](#) must be followed in conjunction with this policy.

6. Diversity

- 6.1 The Policy will at all times be applied in accordance with the council's diversity policy, which states:

“The County Council is committed to diversity and equality of opportunity so that no employee will be subject to unlawful or unfair discrimination on the grounds of gender, age, marital or civil partnership status, colour, race, nationality or other ethnic or national origin, religion or belief, disability, sexual orientation, gender reassignment, pregnancy or maternity, criminal background, membership or non-membership of a trade union or political beliefs.”

Staffing Committee

Dorset County Council



Date of Meeting	22 November 2016
Officer	Chief Executive
Subject of Report	Review of the Staff Code of Conduct
Executive Summary	<p>A review of the Staff Code of Conduct has been undertaken by Democratic Services in conjunction with Human Resources & Organisational Development (HR&OD). The review follows findings from the ethical governance audit undertaken by the South West Audit Partnership and takes account of the council as a modern organisation, various Information Governance reviews, and feedback from managers at all levels.</p> <p>The aim is to ensure that the code is up to date, includes current key messages and that it is practical and useful for managers and staff.</p> <p>This report also recommends that the Staff Code of Conduct is published on Sharepoint and not within the Constitution (its current location) and that any future significant change to the Code is formally delegated to the Staffing Committee under their existing terms of reference.</p> <p>The Staff Code of Conduct is currently part of the council's Constitution. Any change to the Staff Code of Conduct will require approval of the County Council. The recommendations of the Staffing Committee will be put forward to the County Council via the Audit and Governance Committee, with changes effective immediately following County Council approval.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>The Staff Code of Conduct is an overarching document referring to a number of other policies which are subject to individual EqlAs and/or legislative requirements. An EqlA screening has been undertaken specifically in relation to the Personal Appearance</p>

Review of the Staff Code of Conduct

	<p>section and this has highlighted the need for associated guidance for managers in this area. The screening record is being considered by the Chief Executive's Diversity Working Group.</p> <p>Use of Evidence:</p> <p>The report is based on evidence including feedback from the ethical governance audit, those involved in the information governance reviews and a SNAP survey of all people managers. The Corporate Leadership Team and trade unions have been consulted.</p> <p>Budget:</p> <p>There are no financial implications arising from the proposal.</p> <p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p> <p>Other Implications:</p> <p>None.</p>
<p>Recommendation</p>	<p>It is recommend that the Staffing Committee recommend to the County Council, via the Audit and Governance Committee:</p> <ol style="list-style-type: none"> 1 The proposed revised Staff Code of Conduct (Appendix 1). 2 The publishing of the Staff Code of Conduct on Sharepoint and not within the Constitution. 3 Future delegation of significant changes to the Staff Code of Conduct to the Staffing Committee within its Terms of Reference.
<p>Reason for Recommendation</p>	<p>The Staffing Committee oversee matters relating to staff terms and conditions and people management policies.</p>
<p>Appendices</p>	<p>Appendix 1 – Proposed Staff Code of Conduct</p>
<p>Background Papers</p>	<p>The existing Staff Code of Conduct can be found within the council's Constitution: https://www.dorsetforyou.com/constitution/county</p>
<p>Officer Contact</p>	<p>Name: Sarah Butcher, Principal HR & OD Adviser Tel: 01305 228505 Email: s.e.butcher@dorsetcc.gov.uk</p>

Review of the Staff Code of Conduct

	<p>Name: Lee Gallagher, Democratic Services Manager Tel: 01305 224191 Email: l.d.gallagher@dorsetcc.gov.uk</p>
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1. Introduction

- 1.1. The Staff Code of Conduct sets out the standards expected of all employees. The Code highlights ethical standards where there may be a potential conflict of interest - for example if an employee discloses information, takes on other paid employment, or accepts gifts or hospitality. It sits within the council's Constitution, alongside the Member Code of Conduct.
- 1.2. The current Staff Code of Conduct is based on a non-statutory model code of conduct for local government employers. The proposed revised code continues to contain all the key elements of the model code and also reflects a modern organisation, taking account of the use of social media, for example.
- 1.3. The review of the Staff Code of Conduct is prompted by findings from the ethical governance audit, feedback from managers and colleagues with a particular interest in aspects of the Code, for example the council's Data Protection Officer, colleagues in ICT and those involved in various information governance reviews.

2. The Ethical Governance Audit

- 2.1. The ethical governance audit undertaken by the South West Audit Partnership (SWAP) in 2015, focussed on the extent to which ethical governance has been embedded within the council's culture for both members and staff.
- 2.2. The audit found that:
 - staff don't fully understand their responsibilities and the council's responsibilities to its staff regarding ethical governance and associated policies
 - whilst staff are generally aware of the Code of Conduct, they are less aware of how other key policies, (e.g. the Whistleblowing policy and the Contract Procedure rules) relate
 - there is a lack of clarity and consistency regarding who should be informed of any interests declared and where this information should be held
 - there is a lack of clarity and consistency regarding who should authorise any hospitality offered and where any requests authorised or declined should be held

3. Information Governance Reviews

- 3.1. The NHS Information Governance programme is a framework which is used to set a high standard for the handling of information and provides a set of tools to help organisations achieve that standard. Annual completion of the NHS Information Governance Toolkit is a mandatory requirement for the council given our secure computer link to the NHS and the routine use of the NHS Personal Demographic Service and NHS Summary Care Record. Our submissions include Public Health following their transfer into the Local Authority from the NHS, and allow for data flows between NHS Digital and Public Health.
- 3.2. More generally, the Resilience Group commissioned a 'health check' of the council's information governance arrangements, which identified a number of recommendations for improvement.
- 3.3. Officers leading on these reviews have identified the Staff Code of Conduct as one of the key controls to ensuring that staff are aware of the importance of information governance and security.

4. Feedback from Managers

- 4.1. People managers were invited to complete a brief survey in October of this year about the type of information they expect to see in the Staff Code of Conduct. Whilst the survey received only 43 responses, there were a number of trends.
- 4.2. Managers would expect the Staff Code of Conduct to:
 - refer to social media
 - provide clarity about information security and data protection, particularly in relation to safeguarding
 - link to other relevant HR&OD policies
 - clarify standards of behaviour
 - provide clarity about declarations of interests, gifts and hospitality
 - include a dress code

5. Proposed Staff Code of Conduct

- 5.1. The proposed Staff Code of Conduct is designed to be read in conjunction with the key related policies and procedures that underpin it. It is intended that the Staff Code of Conduct is presented as a Sharepoint page, enabling direct links to all related information.
- 5.2. Changes to the Staff Code of Conduct will provide a clear and consistent message to staff in relation to the expected standards by:
 - (a) Enabling all staff to easily find it;
 - (b) Strengthening links to related policies to provide a consistent message - including those which reflect a modern workplace, such as the social networking policy;
 - (c) Modernising the format and making it more accessible and more readily understood;
 - (d) Enabling managers to use it as a practical tool when managing conduct;
 - (e) Providing clarification about what staff are expected to do in certain circumstances, for example how to declare an interest and where to record this declaration; and,
 - (f) Bringing the code in line with the scheme of delegations for people management matters.
- 5.3. The proposed Code of Conduct supports the recommendations of the Ethical Governance Audit and also supports the Information Governance Reviews.

6. Future Changes to the Staff Code of Conduct

- 6.1. The Staffing Committee is asked to consider a recommendation that the County Council delegate authority for agreeing any future significant changes to the Staff Code of Conduct to the Staffing Committee.
- 6.2. This approach would:
 - recognise that the Staffing Committee is expected to have responsibility for matters relating to terms and conditions and people management policies
 - enable the Staffing Committee to respond effectively to any future requirement to consider significant changes

7. Next Steps

- 7.1. The recommendations of the Staffing Committee will be put forward to the County Council via the Audit and Governance Committee. Changes will be effective immediately following County Council approval.
- 7.2. There will be communications to all staff, including via the all staff e-newsletter, the manager e-newsletter and a front page news item on Sharepoint. Managers will be expected to ensure that all staff are aware of the revised Code of Conduct and where to find it.
- 7.3. The possibility of using the modern.gov system for staff to declare interests will be explored. This is the system recently put in place for county councillors to declare interests. This would ensure that all declarations are recorded and accessible.

Sheralyn Huntingford
Head of Human Resources and Organisational Development

Jonathan Mair
Head of Legal and Democratic Services

November 2016

Staff Code of Conduct

1. Introduction

- 1.1. This Code sets out the standards of conduct expected of all council employees and prevents employees from being in a situation where they may be vulnerable to an accusation of favouritism or bias or other improper motives, whether this is real or perceived.
- 1.2. Employees should be aware that a failure to comply with this Code could result in disciplinary action up to and including dismissal, in accordance with the council's [disciplinary policy and procedure](#) and the [disciplinary rules](#).

2. Core Principles

- 2.1. All employees have a general obligation to maintain the council's reputation and should not do anything to adversely affect this – whether in work or outside of work.
- 2.2. Employees are expected to
 - Give the highest possible standard of service to the people of Dorset and to provide appropriate impartial advice. This applies whether the service is provided in person, over the phone, via email or any other method.
 - Raise any concerns about service provision or practice which affect the integrity of the council, including any fraud, bribery, corruption or other malpractice, as outlined in the council's [Anti Fraud, Bribery & Corruption Strategy](#). Employees can feel confident that in raising those concerns they will be protected from any detrimental treatment, such as victimisation or harassment. Employees must report concerns to their line manager in the first instance. Where appropriate, and where raising the concern is in the public interest, the council's [Whistle-Blowing Policy and Procedure](#) should be followed.
 - Be responsible for their own actions and [behaviour](#) and should seek to avoid any conduct that would lead any reasonable person to question their motivation or intentions
 - Declare any relevant interest, outside employment or receipt of gifts or hospitality as outlined in this Code
 - Use public funds in a responsible and lawful manner.
- 2.3. Managers should ensure that employees are also aware of other policies and procedures relating to conduct, as referred to in this Code and as required. Policies and procedures relating to people management are available on [Sharepoint](#).

3. Information Security

- 3.1. It is generally accepted that open government is best. The law requires that certain types of information must be available to county councillors, auditors, government departments, service users and the public. The council will be open and transparent in accordance with the [Access to Information Procedure Rules](#) and the [Freedom of Information Act 2000](#).
- 3.2. Employees must not use any information obtained in the course of their employment for personal gain or benefit. Nor should they pass it on to others who might use it in such a way. Employees must ensure they are sharing information with an appropriate

level of security in accordance with the [Protective Marking Policy](#) and must respect the confidentiality of information that is protectively marked.

- 3.3. In the course of their work, employees may use or have access to sensitive, confidential or restricted information about colleagues, county councillors, customers, clients, partners or others connected with the council. Employees are required to properly protect such data, whether or not it has a protective marking upon it. All data and information not in the public domain, must remain confidential at all times, in accordance with the council's [Information Exchange Policy](#), [Health and Social Care policies](#), [Information Sharing Protocols](#) and [data protection principles](#). This includes council data and information that the employee accesses away from the office, either on their own device or a council owned device in accordance with the [Mobile Device Acceptable Use Policy](#).
- 3.4. These principles also apply to the use of social media as outlined in the council's [social networking policy](#) and the ICT Services [Acceptable Use Policy](#). The reputation and/or business of the council, customers, partners or others connected with the council must not be brought into disrepute through use of social networking.
- 3.5. Care should be taken that confidential information is not inadvertently shared, for instance by discussing confidential matters in public places, working whilst travelling by train or other public transport, or by leaving paper records or portable ICT equipment containing confidential information where it might easily be stolen, such as on full view in a parked car.
- 3.6. Any personal information received by an employee in the course of their employment should not be disclosed by the employee without the prior approval of that individual, except where such disclosure is required by the law or by council policy. This includes the sharing of any information with the media. External communications with the media are handled by the council's Communications team.
- 3.7. Where personal information is lost, stolen or inappropriately disclosed, the council may receive a fine. If a member of staff knowingly accesses or discloses such information without due cause, this is unlawful and they may be liable to prosecution.
- 3.8. Where staff are required to wear [ID badges](#), these must be worn and visible at all times.

4. Political Neutrality

- 4.1. Employees, who as part of their duties are required to provide advice to county councillors, must do so impartially and must not allow their own personal or political opinions to interfere with their work.
- 4.2. Some employees are in politically restricted posts and are prevented by law from taking part in certain political activities outside their work. This will be stated in their individual employment contract.

5. Personal Relationships and the Working Relationship

- 5.1. Any close personal relationship between an employee and a county councillor should not be seen to compromise impartiality of employees and must be openly declared in accordance with the [Protocol for Member Officer Relations](#).

- 5.2. All groups and individuals within the community are entitled to courteous, efficient and impartial services. Provision of service to Dorset residents should not be influenced by any personal relationship. All employees who, during the course of their employment have direct or indirect contact with children or vulnerable adults, or who have access to information about them, have a responsibility to safeguard them and to promote their welfare. Employees should not put themselves in situations in which [allegations of abuse](#) or inappropriate behaviour could be made. Frontline staff must also have a good understanding of 'Prevent' to be able to recognise signs of radicalisation and be confident in referring individuals who can then receive support.
- 5.3. Employees who have a close personal relationship with work colleagues, including any contractors, should disclose the relationship to their line manager in accordance with the council's [close personal relationships at work protocol](#). Employees should not be involved in the recruitment and selection of, or any decision relating to discipline, promotion or [pay adjustments](#) for any individual who is a relative or with whom they are in a close personal relationship.
- 5.4. In all situations, employees should apply the same professional standards regardless of gender, gender identity, age, marital or civil partnership status, colour, race, nationality or other ethnic or national origin, religion or belief, disability, sexual orientation, pregnancy or maternity, criminal background, trade union activity or political belief, in accordance with the council's [diversity policy](#).

6. Other Employment

- 6.1. Full time employees who wish to undertake other paid employment must first have approval of the appropriate manager in accordance with the council's [scheme of delegation on people management matters](#). This is usually the line manager. Whilst part time employees do not require prior approval of other paid employment, they must declare the details of their other employment. In both instances, the line manager will consider whether the other employment could bring the council into disrepute or have a detrimental effect on or conflict with the council's business. If they consider that it could, they will discuss this with the employee. A copy of the written approval/declaration must be sent to HR&OD Support Services for the personal file.
- 6.2. Where employees do undertake other work, this must not be undertaken on any council premises and employees are not permitted to make use of any facilities including telephones or photocopying for this purpose.
- 6.3. Any copyright, patentable invention or a design capable of registration created by an employee during their employment with the council becomes the property of the council.

7. Conflict of Interests

- 7.1. Employees should not put themselves in a position where their duty to the council and their private interests conflict. Where there is a potential conflict of interest employees must:
- Declare in writing, to their line manager, any potential conflict of interest between a private interest and that of the council. This may be a financial or non-financial interest for example acting as a school governor within a school maintained by the council, involvement with an organisation receiving grant aid from the council,

membership of an NHS Trust Board or involvement with an organisation or pressure group which may seek to influence the authority's policies.

- Declare in writing, to their line manager, any potential direct or non-direct interest in any decision about an existing or proposed contract with the council.
- Declare in writing to the appropriate manager, relationships of a business or private nature with external contractors, or potential contractors. Contracts must be awarded on merit and in accordance with the council's [contract procedure rules](#).
- If they are involved in procurement, declare any conflicts of interest relating to the procurement activity where they, or their spouse or civil partner, or person with whom they are living as husband and wife or civil partner, have a vested interest that could conflict with the best interests of the council. Employees involved in the tendering process and dealing with contractors should be clear on the separation of client and contractor roles within the authority.
- Declare in writing, to their line manager, membership of any organisation not open to the public without formal membership and commitment of allegiance and which has secrecy about rules or membership or conduct. For example, employees should declare membership of freemasonry.

7.2. A copy of the written declaration of interest must be sent to HR&OD Support Services for the personal file.

7.3. Where there is a potential conflict of interest, the manager will decide, after consultation with the employee, on the most appropriate way for the matter to be progressed and record it in writing, to be filed with the copy of the declaration of interest. Advice of the Monitoring Officer will be sought whether there is a need for advice or where there is any disagreement regarding how the matter will progress.

8. Gifts and Hospitality

8.1. Employees must be aware that it is a serious criminal offence for them corruptly to receive or give any gift, loan, fee, reward or advantage for doing, or not doing, anything or showing favour, or disfavour, to any person in their official capacity. If an allegation is made it is for the employee to demonstrate that any such rewards have not been corruptly obtained. Employees must declare any gift they accept in writing to their line manager.

8.2. In addition, employees should:

- Declare in writing to their line manager any corrupt offer that is made to them.
- If invited to attend any social hospitality event, only accept if there is a genuine need to represent the council. Attendance at such events must first be approved in writing by the employee's line manager. Consideration must be given to the timing of the event in relation to decisions which the council may be taking affecting those providing the hospitality, including any purchasing decisions.
- Not accept significant personal gifts from contractors or outside suppliers unless it is an insignificant item of token value such as a pen, calendar or diary.

8.3. It is the responsibility of the Head of Service to maintain a record of gifts and hospitality (both offers accepted and refused) for reasons of openness and transparency.

9. Sponsorship – Giving and Receiving

- 9.1. Where an outside organisation wishes to sponsor or is seeking to sponsor a local government activity, whether by invitation, tender, negotiation or voluntarily, the basic conventions concerning acceptance of gifts or hospitality apply. Particular care must be taken when dealing with contractors or potential contractors.
- 9.2. Where the council wishes to sponsor an event or service, neither an employee nor any spouse, relative or close associate must benefit from such sponsorship in a direct way without there being full written disclosure to the appropriate manager. Similarly, where the council through sponsorship, grant aid, financial or other means, gives support in the community, employees should ensure that impartial advice is given and that there is no conflict of interest involved.

10. Personal Appearance

- 10.1. Employees should dress appropriately to the nature of the work undertaken, in a way which portrays a professional approach and which follows any operational requirements.
- 10.2. Exceptions to the usual standards may be agreed for 'dress down' days and a more casual approach may be acceptable in the summer, for example tailored shorts. However, employees should first consider whether they will be attending any meetings which require a more professional approach and should first check with their line manager if there is any doubt.
- 10.3. Employees are expected to observe a high standard of cleanliness and personal hygiene.

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Staffing Committee

Dorset County Council



Date of Meeting	22 November 2016
Officer	Head of Human Resources and Organisational Development
Subject of Report	Statutory Officer Panel Terms of Reference (Disciplinary Investigation Process for the Chief Executive and Statutory Officers)
Executive Summary	<p>Where there is a proposal to dismiss the Chief Executive as Head of Paid Service, the council is required to follow a statutory process in accordance with the procedure set out in the Local Authorities (Standing Orders) (England) (Amendment) Regulations 2015. The procedure includes the appointment of an independent panel.</p> <p>The Regulations are silent about whether the panel should comprise a mixture of elected members and independent persons or independent persons only. When the independent panel arrangements were introduced, the council chose to establish a mixed panel comprising both independent persons (as defined in the Localism Act 2011) and elected members. This is the Statutory Officer Panel.</p> <p>Since then, the Joint Negotiating Committee for Chief Executives of Local Authorities (the JNC) have issued advice recommending that the panel contain independent persons only, and not members. The JNC has also issued an updated edition of the Chief Executives Handbook (the conditions of service for Chief Executives) which includes a revised model procedure for disciplinary dismissals. The model procedure is in line with their advice that the panel should contain independent persons only. The model procedure should apply unless alternative arrangements have been agreed locally. Whilst the model procedure applies specifically to chief executives, it can also be used as a framework for statutory chief officers (the Monitoring Officer and the Chief Finance Officer) who are subject to the same statutory restrictions on dismissal.</p>

Statutory Officer Panel Terms of Reference

	<p>The terms of reference for the Statutory Officer Panel are incorporated in the council's Constitution. Any change will therefore require approval of County Council. The recommendations of the Staffing Committee will be put forward to the County Council via the Audit and Governance Committee, with changes effective immediately following County Council approval.</p>
Impact Assessment:	<p>Equalities Impact Assessment:</p> <p>It is not considered that a full EqIA is required for this report.</p>
	<p>Use of Evidence:</p> <p>This report is based on advice provided by the JNC and a review of associated legislative requirements.</p>
	<p>Budget:</p> <p>There are no direct cost implications arising from this report.</p>
	<p>Risk Assessment:</p> <p>Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p>
	<p>Other Implications:</p> <p>None.</p>
Recommendation	<p>It is recommend that, in line with the JNC's position, the Staffing Committee recommend to the County Council:</p> <p>The terms of reference for the Statutory Officer Panel be updated so that the Panel comprises of independent persons only.</p>
Reason for Recommendation	<p>The Staffing Committee deal with issues relating to disciplinary action or capability in respect of the Chief Executive, Directors, Statutory Officers and Heads of Service. If this recommendation is accepted then independent persons would play an advisory role but any decision to dismiss would still be one for the full County Council.</p>
Appendices	<p>None</p>

Statutory Officer Panel Terms of Reference

Background Papers	None
Officer Contact	Name: Sarah Butcher, Principal HR & OD Adviser Tel: 01305 228505 Email: s.e.butcher@dorsetcc.gov.uk

1. Introduction

- 1.1. In principle it is for each local authority to determine its procedures and practical arrangements for disciplinary action and dismissal. However in the case of the statutory role of Chief Executive (as Head of Paid Service), there are further legal requirements in respect of the processes that must be followed. This process includes seeking the advice of an independent panel.
- 1.2. There has been some uncertainty as to whether the panel should include elected members as well as independent persons. Advice previously available suggested that whilst the panel must include independent persons, it could also include elected members. The council adopted the independent panel arrangements last year, creating the Statutory Officer Panel as the council's panel for this purpose, which is made up of three elected members and two independent persons.
- 1.3. The JNC has since issued further advice for local authorities, recommending that the panel comprise only of independent persons – in other words, no members should sit on the panel. The JNC is the national negotiating body for the pay and conditions of service of chief executives in England and Wales. The Authorities' Side consists of elected members nominated by the Local Government Association.
- 1.4. The JNC model procedure should apply unless alternative arrangements have been agreed locally. Therefore, the council does have some discretion in how far to follow the JNC advice. Should the council continue with the current arrangements by continuing to include members on the Statutory Officers Panel, note that this would be considered as 'alternative local arrangements' which do not follow the model procedure.

2. The Council's Existing Disciplinary Dismissal Process

- 2.1. The council's existing disciplinary dismissal process for Chief Officers is designed in accordance with the steps outlined in the previous version of the JNC's model procedure.
- 2.2. In the event of any proposed disciplinary dismissal of the council's Chief Executive, Monitoring Officer or Chief Finance, the Staffing Committee would sit as a disciplinary panel. If the Staffing Committee recommend the dismissal, they would do so via the Statutory Officer Panel (currently three members and two independent persons), to the County Council.
- 2.3. Any decision to dismiss can only be made by the full County Council, although any advice, views or recommendations of the independent panel must be taken into account before taking any such decision.

3. The Proposed Approach

- 3.1. Should the council decide to follow the advice of the JNC and the model procedure, the steps in the process will remain the same – the Staffing Committee would continue to make a recommendation to the County Council via the Statutory Officer Panel. The only difference is that there would be no members sitting on the panel and the terms of reference for the panel will need to be updated to reflect this. Members would continue to be involved at Staffing Committee and then at full Council.

Statutory Officer Panel Terms of Reference

Sheralyn Huntingford
Head of Human Resources and Organisational Development

November 2016

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Staffing Committee

Dorset County Council



Date of Meeting	22 November 2016
Officer	Chief Executive
Subject of Report	Senior Officer Pay, Terms and Conditions – Lessons Learned
Executive Summary	<p>Following any significant review, it is good practice to conduct a lessons learned exercise to reflect on what went well and what went less well to inform future practice. The Audit and Governance Committee have requested that such an exercise is undertaken in respect of the review of senior officer pay, terms and conditions.</p> <p>The review of senior officer pay, terms and conditions for those at Head of Service level commenced in June 2014 and led to Heads of Service moving to Chief Officer terms and conditions following a decision of this committee and an associated new pay structure agreed by the County Council. The changes were implemented retrospectively with effect from April 2016.</p> <p>The overall findings of the lessons learned exercise show that the review was conducted professionally with a focus on transparency, consistency of approach/application and with independent external advice and support provided throughout.</p>
Impact Assessment:	<p>Equalities Impact Assessment: Not applicable</p>
	<p>Use of Evidence: Analysis of the process taking into account the views of those involved in the review.</p>
	<p>Budget: There are no financial implications arising from this report.</p>

Senior Officer Pay, Terms and Conditions - Lessons Learned

	<p>Risk Assessment: Having considered the risks associated with this decision using the County Council's approved risk management methodology, the level of risk has been identified as: Current Risk: LOW Residual Risk LOW</p>
	<p>Other Implications: None.</p>
<p>Recommendation</p>	<p>It is recommend that the Staffing Committee note the positive way in which the review was conducted and some of the lessons learned.</p>
<p>Reason for Recommendation</p>	<p>Following a request from the Audit and Governance Committee.</p>
<p>Appendices</p>	<p>None</p>
<p>Background Papers</p>	<p>None</p>
<p>Officer Contact</p>	<p>Name: Natalie Adam, HR&OD Service Manager Tel: 01305 221785 Email: n.adam@dorsetcc.gov.uk</p>

1 Introduction

- 1.1 As part of the Council's project management framework, it is recommended that a lessons learned exercise is conducted at the end of the project. The purpose of this exercise is described in the framework as "to pass on in a concise form any lessons that can usefully be applied to other projects. This is to avoid the organisation constantly repeating mistakes and to ensure that good practice is shared.
- 1.2 This report will focus on providing an overview of the elements of the review, consideration of evidence given by officers and members to inform decision making as well as identifying the aspects which went well, less well and key learning points.

2 Background to the Review

- 2.1 At its meeting in June 2014, following some initial scoping work earlier in the year which was considered by the Corporate Leadership Team, the Staffing Committee supported a review of Senior Officer pay, terms and conditions. The review focused primarily on Heads of Service.
- 2.2 Members of the committee were informed that with the significant level of transformational change as part of the Forward Together programme, its leaders were pivotal to ensuring its success through the provision of significant cultural and structural change. Enabling and empowering staff throughout the organisation would be an important role for Heads of Service in delivering the new corporate vision. Part of this was the requirement to harvest savings in the medium long term. Re-focusing Heads of Service roles was identified as a way to support the changes and to enable the council to deliver the 4 principles of its People Plan.
- 2.3 A number of areas were considered by the committee in making its decisions including, the significant changes in many Heads of Service roles from an operational lead focus to wider portfolio with a more strategic, corporate focus reporting direct to members (previously this was at Director/Chief Executive level only). A reduction in the number of posts from 31 in 2004 to 17 at the outset of the review (with further reductions to follow) was also noted. A bottom line saving to the authority staffing costs in respect of Heads of Service since 2010 alone amounts to £675k (not including on-costs).
- 2.4 Inconsistencies between the pay, terms and conditions of peers across other councils were also evident with many being established on Chief Officer rather than Green Book terms and conditions. Green Book terms and conditions of employment did not reflect the nature of Heads of Service roles sufficiently well in respect of areas such as working hours and payment for enhancements.
- 2.5 Although many roles across the council were being reviewed (and where necessary re-evaluated through the council's job evaluation [JE] scheme) as part of significant levels of restructuring, Heads of Service roles had not been evaluated since the introduction of the JE scheme in 2004, due to the limitations of the scheme and salary scale.

3 The Review

- 3.1 The committee were keen to ensure that all staff groups were treated consistently and that there should be some external and independent support and challenge throughout the review process to ensure that it remained robust, fair and consistent. South West Councils (and latterly also the Local Government Association [LGA]) were involved in the review and external legal advice was sought at a number of

points. The officer from South West Councils attended a number of the committee's meetings to provide information and to respond to queries.

- 3.2 It became apparent at an early stage that there were concerns at a national level about the ability of the council's JE scheme to accurately and effectively evaluate Heads of Service roles. A number of other JE schemes were considered before it was agreed that the LGA Senior Officer scheme should be used to JE roles. This also aligned with establishment of the roles on Chief Officer terms and conditions, which in turn required a new pay structure to be devised and implemented. The use of the LGA scheme aligned with the needs of the council in its changing working environment and provided for independent review; the JE process was conducted by South West Councils and the outcomes were validated by the LGA to ensure continuing integrity of their scheme.
- 3.3 The JE process involved individual roles being evaluated using information provided by Heads of Service and their managers (Director or Chief Executive). No appeals were received from post holders. The outcomes of the JE process aligned with the new proposed pay structure. The JE process also required new job descriptions to be developed which more accurately reflected the roles being undertaken. New job titles were also considered taking account of those of peers in other councils.
- 3.4 A change to terms and conditions requires implementation of a new pay structure. A pay structure was developed taking into account a number of key principles, including ensuring that the structure would be affordable, more aligned with other roles in other comparable councils and reduced some of the gap between Heads of Service and Directors given changing portfolios. A number of pay structure options were considered by the committee before a final preferred option was agreed consisting of a two level pay structure taking account of the different roles and responsibility levels within the Head of Service group. The cost of implementation was borne by savings achieved through not filling a Head of Service vacancy; the total cost of implementation was c£60k.
- 3.5 The new pay structure and terms and conditions also gave long-term flexibility as roles change to meet future circumstances. This has already been used to reduce existing posts again.

4 Communication and Consultation

- 4.1 The extent of trade union (TU) involvement and maintaining the balance between transparency with wider staff and the need to provide an effective consultation process for individual Heads of Service was considered at an early stage in the process. There was no legal requirement to consult on a collective basis with the TUs however it was agreed at the outset that they should be involved throughout. Discussions were productive and enabled CLT to understand both the views of the TUs and the views of their members. Additional meetings were set up at the latter stages of the process and the TUs were invited to attend the final meeting of the Staffing Committee to enable their views to be considered in addition to the opportunity to make written representations. One of the TUs was involved in part of the communication via SharePoint.
- 4.2 Consultation on a group and individual basis with Heads of Service was in place throughout the review. This enabled individuals to voice their views, and sometimes concerns, about aspects of the review. All Heads of Service accepted the new terms and conditions and associated pay without the need for further consultation.

- 4.3 Communication to wider staff commenced in March 2016 prior to the Staffing Committee meeting. The high level of transparency was noted by staff given the amount of information provided openly on SharePoint (which enabled staff to comment and receive feedback by members of CLT), discussions at wider staff meetings and access to open Staffing Committee reports. In particular there was openness about why the review was happening, what it meant and how much it would cost. There were two key staff feedback areas; firstly in respect of the timing of the review (ie why senior officers be remunerated at a higher level at a time of significant organisational change and austerity) and secondly in respect of consistency of approach to JE (ie were all officers roles JEd where required). The clear ownership and involvement of CLT as part of the communication plan was a real positive.
- 4.4 As was anticipated, given the experiences of other councils on proposing changes to senior staff pay, there was a great deal of media interest in the proposals particularly in respect of the costs of implementation. Information had been provided in advance which explained how the cost would be funded (ie through the Head of Service vacancy) but also the significant reduction in costs of the top tiers of management across DCC within the previous c5 years. Media interest in the proposed changes resulted in the local press attending both county council meetings. The leader was also interviewed for local radio.

5 Committee Decisions

- 5.1 Decisions in respect of senior officer pay are made by the full county council. Consideration by the county council on such matters follows a recommendation by the Staffing Committee.
- 5.2 At the Staffing Committee meeting on 24 March 2016 agreement on changes to Heads of Service terms and conditions of employment was fully supported and agreed and a recommendation made to the county council that a new pay structure be approved.
- 5.3 Following feedback from staff, the TUs and other council members, the leader of the council requested that further consideration should be given by the committee and as such a decision was not reached at the county council meeting on 21 April 2016.
- 5.4 A further report was provided to the committee which gave some further statistical analysis and information for members of the committee and this led to a final recommendation to the County Council at its meeting on 21 July 2016 at which the motion to implement the new pay structure was carried. This led to Heads of Service being offered pay on the new pay structure on acceptance of new terms and conditions of employment with effect from 1 April 2016 (there was no back-dating of changes beyond the financial year).

6 Other Factors and Conclusions

- 6.1 The review took well over two years to complete. This reflects the time that was taken to research, develop and implement the changes. Final delays were as a result of the additional scrutiny requested by the Staffing Committee.
- 6.2 The following provides a summary of the review and highlights the learning points for the future:-

What went well
<ul style="list-style-type: none">• Clear, reasoned and well evidenced case for change provided to members

Senior Officer Pay, Terms and Conditions - Lessons Learned

<ul style="list-style-type: none">• Involvement of external organisations to ensure a robust and independent review was conducted• Process planning and implementation• Consultation with affected staff• CLT involvement and ownership of the proposals for change• Open, transparent communication with wider staff group and the media• Consistency of application of changes with staff on other terms and conditions of employment
What went less well <ul style="list-style-type: none">• The timing of the review and the resulting impact on wider staff views
Recommendations for the Future taking account of the above <ul style="list-style-type: none">• Early involvement of members• Clear communications plan involving all stakeholders considered early• Internal officers, members and external advisers working closely to ensure there are shared aims and understanding of issues

Debbie Ward
Chief Executive

November 2016

By virtue of paragraph(s) 4 of Part 1 of Schedule 12A of the Local Government Act 1972.

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