



Committee: PERSONNEL COMMITTEE
Date: WEDNESDAY, 14TH JUNE 2017
Venue: LANCASTER TOWN HALL
Time: 5.00 P.M.

A G E N D A

1. **Apologies for absence**

2. **Appointment of Vice-Chairman**

To appoint a Vice-Chairman for the duration of the 2017/18 municipal year.

3. **Minutes**

Minutes of meeting held on 29th March, 2017 (previously circulated).

4. **Declarations of Interest**

To receive declarations by Members of interests in respect of items on this Agenda.

Members are reminded that, in accordance with the Localism Act 2011, they are required to declare any disclosable pecuniary interests which have not already been declared in the Council's Register of Interests. (It is a criminal offence not to declare a disclosable pecuniary interest either in the Register or at the meeting).

Whilst not a legal requirement, in accordance with Council Procedure Rule 9 and in the interests of clarity and transparency, Members should declare any disclosable pecuniary interests which they have already declared in the Register, at this point in the meeting.

In accordance with Part B Section 2 of the Code Of Conduct, Members are required to declare the existence and nature of any other interests as defined in paragraphs 8(1) or 9(2) of the Code of Conduct.

5. **Items of urgent business authorised by the Chairman**

6. **Health & Safety Policy** (Pages 1 - 14)

Report of Chief Officer (Health & Housing)

7. **Long Service Awards** (Pages 15 - 22)

Report of the HR Service Manager

8. **Celebrating Success** (Pages 23 - 31)
Report of the HR Service Manager
9. **Investors in People - presentation**
10. **Apprentices & the Apprenticeship Levy** (Pages 32 - 41)
Report of the HR Service Manager
11. **Performance Appraisal** (Pages 42 - 53)
Report of the HR Service Manager
12. **Values and Behaviours** (Pages 54 - 62)
Report of the Chief Executive

ADMINISTRATIVE ARRANGEMENTS

(i) Membership

Councillors Lucy Atkinson (Chairman), Eileen Blamire, Caroline Jackson, Ronnie Kershaw, Jane Parkinson, Margaret Pattison and Sylvia Rogerson

(ii) Substitute Membership

Councillors Carla Brayshaw (Substitute), Andrew Gardiner (Substitute), Rebecca Novell (Substitute), David Whitaker (Substitute) and Phillippa Williamson (Substitute)

(iii) Queries regarding this Agenda

Please contact Stephen Metcalfe, Democratic Services - telephone 01524 582073, or e-mail sjmetcalfe@lancaster.gov.uk.

(iv) Changes to Membership, substitutions or apologies

Please contact Democratic Support, telephone 582170, or alternatively email democraticsupport@lancaster.gov.uk.

SUSAN PARSONAGE,
CHIEF EXECUTIVE,
TOWN HALL,
DALTON SQUARE,
LANCASTER, LA1 1PJ

Published on Tuesday, 6th June 2017.

PERSONNEL COMMITTEE

Health & Safety Policy

14 June 2017

Report of Chief Officer (Health & Housing)

PURPOSE OF REPORT

To approve the council's revised and updated Health & Safety Policy for signature by the Chief Executive.

This report is public.

RECOMMENDATIONS

- (1) That the updated Health & Safety Policy be ratified for signature by the Chief Executive.
- (2) That the ambition and commitment reflected in the draft revised Health & Safety Policy be formally endorsed.

1.0 Introduction

- 1.1 The Health & Safety at Work Etc Act 1974 and regulations made under it contain provisions relating to health and safety policies. Such policies must protect health and safety, both of our workforce and others coming into contact with risks arising from both our service delivery and our premises management and maintenance.
- 1.2 The council has an over-arching health and safety policy which we commonly refer to as the 'Safety Policy'. The council also has various service-specific safety policies and a number of property-related (fire, asbestos and legionella) safety policies.
- 1.3 This report concerns the council's over-arching Safety Policy which is presented for approval in a revised and updated form.
- 1.4 Approval of the Safety Policy is a matter falling to Personnel Committee under the terms of the council's Constitution (Part 3 Responsibilities for Functions, Section 6, paragraph 6.1):

"To deal with the appointment of staff and to determine the terms and conditions on which staff are employed. In particular the Committee will...

...6.2 Be responsible for Health and Safety policy"

2.0 Proposal Details

- 2.1 The draft revised Safety Policy is attached as Appendix 1. This document meets the requirements of health and safety law, also guidance from the Health & Safety Executive.
- 2.2 Updates have been made to reflect changes in the council's service and management structure.
- 2.3 Revisions have been prepared reflecting identified needs for proactive, planned and performance-focussed management of health and safety.
- 2.4 The council's health and safety structure is shown in a diagram on the final page of the draft revised Safety Policy. Further detail of corporate health and safety support to council services, managers and employees will be provided when the Safety Policy has been approved in final form.
- 2.5 Care has been taken to ensure that every provision in the draft revised Safety Policy, whilst potentially demanding of our busy managers, supervisors and staff, is reasonably achievable within the council's financial and staffing resources. This will require proportionate time and effort to be invested. Inevitably this may require management of any conflict with other prevailing service delivery priorities.
- 2.6 A full range of support and advice measures have been planned to assist managers, supervisors and staff. These will be finalised once this draft revised Safety Policy is approved.

3.0 Details of Consultation

- 3.1 The Health & Safety Joint Consultative Committee (H&S JCC) has been kept consulted throughout the preparation of the revised draft Safety Policy. Changes arising during this consultation have included:
 - the positive tone and wording of the general policy statement (front page)
 - clarification of the relationship between the over-arching Safety Policy and subsidiary safety-related policies referred to in paragraph 1.2
 - an addition to the responsibilities of supervisors
 - the inclusion of specific responsibilities for all staff
- 3.2 Full staff / management consultation has been carried out in accordance with health & safety employee consultation requirements. The draft revised Safety Policy was met with a positive reception. No staff concerns have been raised. Managers whilst content with the draft revised Safety Policy will inevitably be concerned to ensure that they can reasonably and fully implement what will be required of them.
- 3.3 The Health & Safety Joint Consultative has been consulted on post-consultation finalisation of the draft revised Safety Policy.

4.0 Options and Options Analysis (including risk assessment)

	Option 1: Approve the draft revised Safety Policy as presented	Option 2: Require changes to the Safety Policy as presented
Advantages	<p>Meets legal requirements.</p> <p>Has staff and management support in its present form.</p> <p>Represents an ambitious approach to consolidate and strengthen proactive, planned and performance focussed health and safety across the council.</p>	<p>None identifiable during preparation of this report.</p>
Disadvantages	<p>Sets an aspirational standard in the General Statement (first page) and therefore carries the risk that we may fail to achieve our ambition.</p> <p>Setting out responsibilities in the level of detail provided will lead to further implementation stage work which, although planned for, will require a time commitment.</p>	<p>Without careful consideration may fail to ensure legal requirements are met and a good balance is achieved with other policies.</p> <p>Might have the effect of raising or lowering the expected health and safety standard, performance and outcomes.</p> <p>May require re-consultation with the workforce.</p>
Risks	<p>The aspirational standard in the General Statement (first page) carries with it the risk that we may fail to achieve our ambition. However a number of supporting and management actions are planned.</p>	<p>Setting a lower standard would provide weaker levels of health and safety assurance and protection to council employees and others it is designed to protect.</p>

5.0 Conclusion

5.1 The draft revised Safety Policy meets legal requirements and sets a good standard in keeping the workforce and public safe from the council's work activities and premises. Consultation has confirmed good support and, with the right level of in-service prioritisation for health and safety, we can expect improvements in both safety culture and performance.

**CONCLUSION OF IMPACT ASSESSMENT
(including Health & Safety, Equality & Diversity, Human Rights, Community Safety, Sustainability and Rural Proofing)**

The draft revised Safety Policy is directly designed to enhance Health & Safety standards and outcomes. No other impacts or implications have been identified.

LEGAL IMPLICATIONS

The draft revised Safety Policy helps to ensure the council fulfils legal Health & Safety requirements. No adverse legal implications have been identified in the wording of the document.

FINANCIAL IMPLICATIONS

For now it is assumed that any additional staff resource requirements potentially arising through compliance with the updated Health and Safety Policy are manageable and so there are no specific identifiable additional financial implications arising at this time.

This will need to be kept under review however, and if additional resources are required, this will need to be fed into the Council's formal corporate monitoring and annual budget processes.

OTHER RESOURCE IMPLICATIONS

Human Resources:

There are specific Human Resources implications in terms of employee protection and sickness absence in connection with health and safety, also Learning and Development needs to help secure safe working practices. These are achievable and will be detailed in supporting measures once the Safety Policy has been approved.

Information Services:

No specific implications have been identified.

Property:

There are specific Property-related health and safety implications, these are made clear in the document.

Open Spaces:

There are specific Open Space-related health and safety implications, these are made clear in the document.

SECTION 151 OFFICER'S COMMENTS

The Section 151 Officer has been consulted and has no comments to add.

MONITORING OFFICER'S COMMENTS

The Monitoring Officer has been consulted and has no further comment.

BACKGROUND PAPERS

Health & Safety at Work etc. Act 1974

Contact Officer: Nick Howard, Public Protection Group Manager

Telephone: 01524 582734

E-mail: nhoward@lancaster.gov.uk

Ref: PC25



HEALTH AND SAFETY POLICY

Part 1
STATEMENT OF INTENT
 Revised: June 2017

General Policy

Lancaster City Council recognises the need and accepts responsibility for providing, so far as is reasonably practicable, a safe and healthy working environment both for its staff, the public and any others affected by its undertakings or service provision.

The council prioritises health and safety as highly as any other business objective. The council will ensure that suitable and sufficient financial and physical resources are made available to implement this policy and will seek to enlist the support of staff, unions and all those affected by its undertakings in a focussed and concerted effort to achieve its safety goals. The council will take a strategic and systematic approach to the management of health and safety. We will be proactive and well organised, doing the right things right. Through each stage of our health and safety management system we will monitor progress, promptly respond to needs for improvement and positively manage performance so that the council consistently achieves its aims and objectives for health and safety. The roles, responsibilities and competencies of each member of staff in contributing fully to that achievement will be clearly defined and communicated. We recognise that communication is the key to successful health and safety implementation and will visibly lead health and safety by positive example at every level.

Organisation

The Chief Executive, Lancaster City Council, Town Hall, Dalton Square, Lancaster, LA1 1PJ is responsible for implementing and reviewing the council's Health and Safety Policy.

The Chief Executive will be supported by the council's Members and assisted by all employees of the council; especially those officers allocated the specific safety responsibilities detailed later in this Policy.

ISSUED ON <DATE> BY THE CHIEF EXECUTIVE, LANCASTER CITY COUNCIL

SIGNATURE:

CHIEF EXECUTIVE



Part 2

OVERVIEW OF CORPORATE SAFETY RESPONSIBILITIES

Revised: May 2017

1. Personnel Committee

Personnel Committee is responsible under the council's Constitution for approving and overseeing this Health and Safety Policy.

2. Chief Executive

The Chief Executive is the accountable officer for all health, safety and welfare issues under the control of Lancaster City Council. The Chief Executive will ensure that Members of the council are advised of the financial and human resources needed to comply with the requirements of this policy and all aspects of health, safety and welfare affecting the council.

3. Chief Officers generally

3.1 Chief officers have responsibility for the health, safety and welfare of staff within their Services, managing within their power (and otherwise formally raising concerns about) the safe and healthy condition and use of accommodation areas occupied by their employees. Chief officers must ensure that senior operational managers and any other direct reporting service managers within their Service operate within the framework of the council's health and safety policy in a manner that complies with the duties duly assigned.

3.2 Chief officers are responsible for ensuring in particular that:

- All significant findings of timely risk assessment and review process are documented,
- All necessary risk control measures arising are implemented, and
- All appropriate monitoring of implemented risk controls and follow-up action is completed effectively.

3.3 Chief officers are also responsible for ensuring their staff comply with any specific health, safety and security arrangements put in place by another chief officer.

4. Chief Officer (Health & Housing)

4.1 The Chief Officer (Health & Housing) will assist the Chief Executive in exercise of the duties outlined above and deputise for the Chief Executive, as required.

4.2 The Chief Officer (Health & Housing) has overall responsibility for the co-ordination of health, safety and welfare responsibilities throughout the council and, in particular:

- To report to Management Team on the suitability of financial and human resources available to comply with all aspects of health, safety and welfare legislation affecting the council's activities;
- To review and revise the council's health and safety policy periodically and in the event of significant modification of the organisation or work activities of the council, bringing such revisions to the attention of Management Team where appropriate;
- To monitor, review and ensure the adequacy of the council's health and safety policy and its implementation

- To present to Management Team any new/amended health, safety and welfare legislation (or associated safety policy topic notes) which may significantly affect the council's activities as a whole.
- Overseeing the coordination of the following corporate arrangements:
 - contractor control
 - CDM
 - lone working
- Overseeing safety and health policy and practical implementation concerning council-owned housing stock, common parts of such buildings and open land invested in Council Housing.

4.3 The Chief Officer (Health & Housing) also has responsibility for:

- Updating chief officers and senior operational managers on changes in legislation, advising and providing information on health and safety matters.
- Advising and assisting in the provision of health and safety training for the council's personnel.
- Maintaining the copy of the Council's health and safety policy available to view via the authority's Intranet system.
- Maintaining a central record of notifiable accidents and ensuring compliance with the requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR).
- Assessing notifiable accidents and incidents and assisting Services in their investigation where necessary.
- Carrying out council wide safety reviews and audits as required.
- Acting as the council's point of liaison with the Health and Safety Executive.
- Assisting the council in developing and maintaining formalised staff safety liaison arrangements e.g. the council's Joint Consultative Committee on Health & Safety.

4.4 The Chief Officer (Health & Housing) also has responsibility through Human Resources for coordinating the competence, training, welfare and protection needs of employees as identified and notified by Services, insofar as coordinating such needs is not the responsibility of individual Services (e.g. operation-specific technical competence assessment and associated training).

In addition to the Chief Officer (Health & Housing), the following chief officers have specific responsibilities.

5. Chief Officer (Resources)

The Chief Officer (Resources) is responsible for maintaining, in a safe and healthy condition, buildings, land and other property assets owned, occupied or managed by the council and falling to the corporate Property Group (i.e. not assigned to another chief officer) as corporate landlord.

The Chief Officer (Resources) is responsible for ensuring the health and safety, security and emergency procedures of municipal buildings managed by the Property Group used for office accommodation, meetings etc. and rooms made available to visitors or for hire to third parties.

The Chief Officer (Resources) is also responsible for policy and practical implementation of the council's safety arrangements concerning control of risks from fire, legionella and asbestos.

On behalf of the council as a property owner and corporate landlord, the Chief Officer (Resources) has specific duties with regard to premises not occupied by the council and where such duties are not legally transferred to the building occupier(s).

6. Chief Officer (Planning & Regeneration)

The Chief Officer (Planning and Regeneration) is responsible for management and maintenance of specific projects, property and assets falling under the management of Planning & Regeneration Services and therefore also for the safety and health of people coming into contact with them.

7. Chief Officer (Environment)

The Chief Officer (Environment) is responsible for management and maintenance of council-owned buildings, land, parks and open spaces falling to Environmental Services and so for the safety and health of people coming into contact with those spaces and activities held there. Also for the cleansing of staff-occupied buildings across the council's portfolio. Similarly for the council's street furniture and vehicle fleet except insofar as individual driver behaviour by an employee is a matter falling to the relevant chief officer.

8. Chief Officer (Legal & Governance)

Note: interim arrangements are in place as at May 2017 pending recruitment

The Chief Officer (Legal & Governance) is responsible for management and maintenance of the council's Electoral system and arrangements including safeguarding personal safety in the staffing, occupation and management of temporary polling stations.

9. Senior operational managers and service unit managers

For purposes of this policy:

- "Senior operational managers" means senior managers reporting directly to a chief officer and assigned the lead operational management of a service area as a whole.
- "Service unit managers" then means other managers who formally manage one or more individual service units within a service area.

Senior operational managers are responsible for:

- Monitoring and reporting promptly to chief officers on matters of health and safety resourcing, implementation, progress, performance and risk.
- Assuming responsibility alongside chief officers for proactively delivering the council's aims and objectives, strategy and systematic management of health and safety delivery.
- Being closely informed about health and safety systems, resources, attitudes, practices and performance within their service areas and individual service units.
- Leading the operational management and driving a positive, proactive culture of health and safety, serving as a role model.

Senior operational managers and service managers are responsible for the operation of the council's health and safety policy within the service units / teams that they oversee except to the extent that responsibility is delegated further. In particular, their responsibilities are to ensure:

- That, so far as is reasonably practicable, the health, safety and welfare of all employees and others working for, or affected by, the activities of their section is maintained at all times in accordance with human resources policies and procedures.
- That line managers and supervisors under their formal line management capably, competently and fully perform their responsibilities and duties under this policy and that the performance of those duties is actively monitored and performance managed.

- Adherence to and full implementation of the relevant parts of the health and safety policy which affect the activities of their section, promptly correcting any non-compliance.
- The responsibilities for assessing health and safety risks arising from their sections' work activities are allocated only to staff who have been suitably trained and demonstrated their competence.
- That an effective system is in place to undertake risk assessment reviews at appropriate intervals e.g. initially annually, or following significant changes in personnel/ workplace/ work activities or following accidents or incidents.
- That the competence of each employee to undertake assigned duties is assessed and training needs are fully identified and met.
- That all employees in their section are aware of the council's accident reporting procedures and that all work related accidents and incidents are reported and (where appropriate) investigated.
- That their chief officer is advised of the adequacy of financial and human resources available within their section to comply with the council's health and safety policy and risk assessment findings.
- That their chief officer is updated via appropriate Service management team (or equivalent) meetings on progress with regard to any health, safety and welfare issues affecting their section.
- That co-operation and liaison with other chief officers, senior operational managers and corporate coordination / support services is maintained over work activities that could jointly affect the health, safety and welfare of staff or others.

10. Line Managers

Line Managers are responsible for:

- Ensuring that line managers and supervisors for which they have formal line management responsibility are able to capably, competently and fully perform their duties under this policy. Also, in the absence of such a line manager or supervisor, that they fulfil the responsibilities of a supervisor set out in the following section.
- Ensuring, so far as is reasonably practicable, that the health, safety and welfare of staff members under their control, and any others who may be affected by their actions, is maintained at all times.
- Producing an appropriate assessment of the health and safety risks to staff, public and others, arising from the work activities of their section.
- Ensuring that any significant findings identified by the assessment process are documented and that any further risk control measures found necessary are implemented by the appropriate line managers within their section.
- Arranging that, so far as is reasonably practicable, staff are actively involved in the risk assessment process and that as a minimum, copies of risk assessments are made available to and discussed with the relevant members of staff within their section.
- Ensuring that staff under their control remain adequately trained and competent and are provided with suitable and sufficient work equipment to carry out their work tasks safely.
- Adherence to, and full implementation of, the parts of the council's safety policy which apply to the work tasks under their control.
- Ensuring that staff under their control carry out works tasks in accordance with the findings of the risk assessment carried out by their service unit / team.
- Reporting accidents and incidents in accordance with the council safety policy.
- Taking action to eliminate (or control) workplace hazards which are reported to or noted by them.

11. Supervisors

Supervisors are responsible for:

- Ensuring, so far as is reasonably practicable, that the health, safety and welfare of staff members under their control and any others who may be affected by their actions, is maintained at all times.
- Producing an appropriate assessment of the health and safety risks to staff, public and others, arising from the work activities of their section.
- Ensuring that any significant findings identified by the assessment process are documented and that any further risk control measures found necessary are implemented by the appropriate line managers within their section.
- Arranging that, so far as is reasonably practicable, staff are actively involved in the risk assessment process and that as a minimum, copies of risk assessments are made available to and discussed with the relevant members of staff within their section.
- Identifying and informing their line manager of the need for any change to an existing risk assessment or preparation of an additional risk assessment.
- Ensuring that staff under their control remain adequately trained and competent and are provided with suitable and sufficient work equipment to carry out their work tasks safely.
- Adhering to, and fully implementing, the parts of the council's safety policy which apply to the work tasks under their control.
- Ensuring that staff under their control carry out work tasks in accordance with the findings of the risk assessment carried out by their Service.
- Reporting accidents and incidents in accordance with the council safety policy.
- Taking action to eliminate (or control) workplace hazards which are reported to or noted by them.
- Raising through the management chain any health and safety issue that they cannot personally resolve.

12. Responsible Officers and Premises Managers

Defined roles will be maintained for employees serving as the assigned Responsible Officer or Premises Manager for a specific council building or facility. Due to wide variations in property ownership / management / control arrangements and logistics across the council's portfolio of premises and services, individual premises management considerations will be clarified and documented on a premises-by-premises basis. The resulting roles and responsibilities for both Responsible Officers and Premises Managers will be formally assigned and documented. Supporting guidance will be provided for those with specific responsibilities.

13. Corporate Health & safety function

Responsible for coordinating corporate policy on health & safety, providing advice and support in accordance with but not limited to its documented purpose and arrangements.

14. Health & safety officer embedded with Environmental Services

Provides advice and assistance to Environmental Services in support of Chief Officer (Environmental Services) and delivers corporate health & safety-related training.

15. Health & Safety joint consultative committee (H&S JCC)

The H&S JCC provides the leading mechanism for staff consultation, tabling and monitoring issues of health & safety concern, activity and progress.

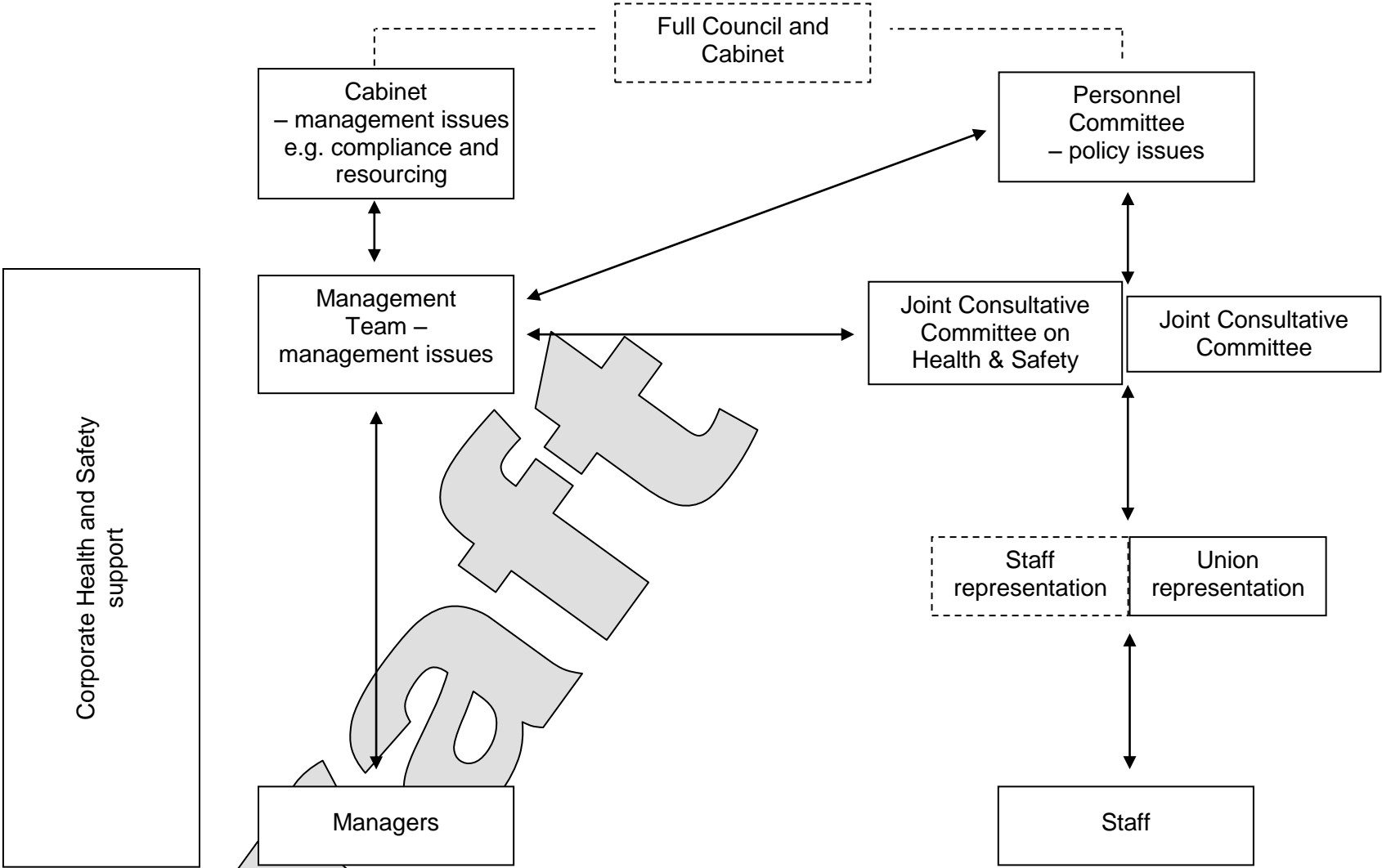
16. All Staff

All members of staff are responsible for:

- Fulfilling their health and safety roles and responsibilities provided in job descriptions.
- Actively participating in competence assessment, training and development and actively assisting fellow staff members, supervisors and line managers in the achievement of full competence.
- Ensuring that they are familiar with the council's health and safety policy, procedures, work instructions, guidance and relevant risk or other health and safety assessments pertinent to their work tasks.
- Ensuring that they carry out their work tasks in accordance with the significant findings of the relevant risk or other health and safety assessments pertinent to their work tasks.
- Reporting all accidents, near misses, hazards and other health and safety incidents and concerns to their supervisors immediately.
- Following all health and safety rules and instructions properly given.
- Actively co-operating with the council at all times to improve standards of health, safety and welfare.
- Raising through the management chain any health and safety issue that they cannot personally resolve.

DRAFT

Corporate Health and Safety structure



Equality Impact Assessment

This **online** equality impact assessment should:

An equality impact assessment should take place when considering doing something in a new way. Please submit your completed EIA as an appendix to your committee report. Please remember that this will be a public document – do not use jargon or abbreviations.

Service

Title of policy, service, function, project or strategy

Type of policy, service, function, project or strategy: Existing New/Proposed

Lead Officer

People involved with completing the EIA

Step 1.1: Make sure you have clear aims and objectives

Q1. What is the aim of your policy, service, function, project or strategy?

Q2. Who is intended to benefit? Who will it have a detrimental effect on and how?

Step 1.2: Collecting your information

Q3. Using existing data (if available) and thinking about each group below, does, or could, the policy, service, function, project or strategy have a negative impact on the groups below?

Group	Negative	Positive/No Impact	Unclear
Age	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Faith, religion or belief	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender including marriage, pregnancy and maternity	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual orientation including civic partnerships	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other socially excluded groups such as carers, areas of deprivation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Rural communities	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Step 1.3 – Is there a need to consult!

Q4. Who have you consulted with? If you haven't consulted yet please list who you are going to consult with? Please give examples of how you have or are going to consult with specific groups of communities

Equality Impact Assessment

The council's Health & Safety Policy is a largely an internal document. It has been consulted upon with staff and managers across the council.

Step 1.4 – Assessing the impact

Q5. Using the existing data and the assessment in questions 3 what does it tell you, is there an impact on some groups in the community?

Age: No discriminatory impact or unequal treatment of communities
Disability: No discriminatory impact or unequal treatment of communities
Faith, Religion or Belief: No discriminatory impact or unequal treatment of communities
Gender including Marriage, Pregnancy and Maternity: No discriminatory impact or unequal treatment of communities
Gender Reassignment: No discriminatory impact or unequal treatment of communities
Race: No discriminatory impact or unequal treatment of communities
Sexual Orientation including Civic Partnership: No discriminatory impact or unequal treatment of communities
Rural Communities: No discriminatory impact or unequal treatment of communities

Step 1.5 – What are the differences?

Q6. If you are either directly or indirectly discriminating, how are you going to change this or mitigate the negative impact?

No likelihood of any discrimination or unequal treatment arising has been identified.

Q7. Do you need any more information/evidence eg statistic, consultation. If so how do you plan to address this?

No further information is warranted.

Step 1.6 – Make a recommendation based on steps 1.1 to 1.5

Q8. If you are in a position to make a recommendation to change or introduce the policy, service, function, project or strategy, clearly show how it was decided on.

No impact has been identified due to the nature of this policy decision focussing on internal health and safety.

Q9. If you are not in a position to go ahead, what actions are you going to take?

N/A

Q10. How do you plan to monitor the impact and effectiveness of this change or decision?

N/A

PERSONNEL COMMITTEE

Long Service Awards

14th June 2017

Report of the HR Service Manager

<p style="text-align: center;">PURPOSE OF REPORT</p> <p>To enable the Committee to consider and approve the introduction of a revised Long Service Awards Policy.</p>
<p>This report is public</p>

RECOMMENDATIONS

- (1) That Personnel Committee agree to the introduction of a revised Long Service Awards Policy effective from 13 September 2017.

1. **Background**

In 1990 the Council introduced Long Service Awards. The awards take two forms:

- a payment or gift to those employees who reached 25 years' service with LCC;
- a payment of £10 for each year of service for employees who retire, having exceeded 25 years' service with LCC.

There is no published Long Service Award Policy, though current arrangements were agreed by Personnel Committee in 1990. It is proposed to introduce a Long Service Award Policy, as appended to this report, which will thereafter be subject to regular review in line with other HR policies.

Traditionally employers have tended to recognise staff via their longevity in post. Whilst staff loyalty is important, long service awards only reward a relatively small proportion of staff and take no account of performance or contribution. Many employers have therefore moved away from long service awards

2. **Long Service Award – 25 years' service with LCC**

The majority of staff welcome the formal recognition that comes with their achievement of 25 years' service with Lancaster City Council, though this may be influenced in part by the absence of any other type of award scheme.

Since its introduction in 1990, the Long Service Award has been set at £125.00, which in real terms has diminished in value over the intervening 27 years.

At this point in time it is not the recommendation that Long Service Awards should be removed entirely, however given the length of time the Long Service Awards have been in place, it is appropriate to review the current arrangements.

2.1 Current process

Prior to reaching 25 years' service staff are contacted and offered two options:

- **Cash Only** - £125.00 is paid directly into the employee's bank account through payroll. The award is then regarded as a monetary gift by HMRC and is subject to deductions for Tax and National Insurance. Whilst this is an efficient way of paying the award, taxation results in employees receiving a reduced amount in the region of £85 - £90.

Recognising Long Service in this way is far from ideal, since it is impersonal and payment of a reduced sum of money directly into a bank account involves little in the way of 'recognition'. Relatively few employees take this option and those that do tend to be manual staff.

- **Gift** - If an employee elects to purchase a gift the current process is administratively burdensome. As the Council can reclaim VAT on the purchase the employee may choose a gift up to the value of £150.00. The majority of employees choose the gift option.

In all cases the employee receives a certificate signed by the Mayor and Chief Executive. They can also choose to have their certificate and gift formally presented to them by their Chief Officer, the Mayor or the Chief Executive.

2.2 Long Service Award – Future Options

2.2.1 Introduce High Street Vouchers

To reduce officer time and administration and to ensure that all employees reaching 25 years' service receive a gift of the same value, it is proposed to remove the two current options and introduce a single approach whereby the award will take the form of High Street Vouchers (branded as Love2Shop).

As the vouchers are taxed at source this means that the employee will receive the full award amount without deduction for Tax and NI. However, the Council would no longer be able to reclaim the VAT, so the maximum award value would be £125.00.

The Procurement Manager has confirmed that there is no requirement to go through a tendering process. However, HR have undertaken research into providers and have concluded that High Street Vouchers appear to be the most flexible option, allowing the employee a varied choice of retailer, use them to pay for entry to a range of attractions or make a charitable donation.

High Street Vouchers can be ordered annually thereby further reducing administration time and, where an order of over £1,000 is placed, the Council would qualify for a small discount of 1.5% of the value, plus free secure delivery.

2.2.2 Increase the long service award

The value of the award has not increased since its inception in 1990 when the award was set at £125. It is proposed to increase the value of the Long Service Award by a modest amount from £125 to £150.

Assuming they remain in post, there are currently 50 employees due to receive a Long Service Award in the next 5 years. Costs are estimated as follows:

- £125 x 50 = £6,250
- £150 x 50 = £7,500

2.2.3 Celebrating Success – Long Service Awards

All officers who achieve a Long Service Award will be invited to attend a Celebrating Success event (the nearest one to their 25 year anniversary), where they will be presented with their certificate to properly recognise their commitment to the organisation.

3. Long Service Retirement Awards

It is proposed that Long Service Retirement Awards are discontinued.

Long Service Retirement Awards are paid only to those employees who have already reached 25 years' service with LCC at the point that they retire from the Council. Staff with over 25 years' service who leave the Council for any reason do not qualify for the payment.

As these awards are only made when the employee retires from Lancaster City Council, relatively few employees benefit from them. In addition, these same employees have already been formally recognised for their long service upon reaching 25 years' service.

Employees who qualify receive £10 for every year of service with LCC. The payment is paid with the employee's final monthly salary payment and is subject to deductions for Tax and NI. There is no formal presentation of the award nor is there an accompanying certificate. As the employee is also retiring they will receive a lump sum pension payment from the Local Government Pension Scheme.

The cost of the Long Service Retirement Awards is met from individual Service budgets. An average of £1,720 has been spent on Long Service Retirement Awards for the calendar years 2013 – 2016. By the end of May 2017 £2,140 will have been spent on Long Service Retirement Awards in the current calendar year. Even taking account of the proposals regarding Celebrating Success awards, increasing the Long Service Award to £150 would still be less (on average) than the cost of continuing with the Long Service Retirement Awards.

Importantly there is no benefit whatsoever to the Council in terms of improved productivity or engagement, since the employee receives the payment with their final salary. Consequently it would seem entirely appropriate to discontinue the Long Service Retirement Award.

4. Implementation date

It is proposed that the changes outlined above should be implemented 12 weeks after Personnel Committee, namely 13 September 2017.

5. Conclusion

Members are asked to consider and accept the Officer recommendations in respect of the draft Long Service Awards Policy appended to this report and the discontinuation of the Long Service Retirement Award.

CONCLUSION OF IMPACT ASSESSMENT

(including Health & Safety, Equality & Diversity, Human Rights, Community Safety, Sustainability and Rural Proofing):

An Equality Impact Assessment has been undertaken.

LEGAL IMPLICATIONS

Legal Services have been consulted and have no further comments.

FINANCIAL IMPLICATIONS

There is an annual budget provision of £1,500 for Long Service Awards so based on the number who are currently due to receive the award in the next 5 years there would be no budget increase required if the £150 vouchers option was approved.

There are no budget implications for removing the Long Service Retirement Awards as the costs are normally met from turnover savings on retirement of the postholder.

OTHER RESOURCE IMPLICATIONS, such as Human Resources, Information Services, Property, Open Spaces:

Not applicable.

SECTION 151 OFFICER'S COMMENTS

The s151 Officer has been consulted and has no further comments.

MONITORING OFFICER'S COMMENTS

Monitoring Officer has been consulted and has no further comments.

BACKGROUND PAPERS

Contact Officer: Angela Jackson
Telephone: 01524 58279
E-mail: ajackson@lancaster.gov.uk



Long Service Awards Policy and Procedure

1.0 Scope

The Long Service Awards Policy and Procedure applies to employees who have reached 25 years' of continuous service with Lancaster City Council.

2.0 Awards

Lancaster City Council recognises employee long service to the organisation through this policy. Recognition comes in two forms:

2.1. Employees will be awarded a gift of £150.00 of high street vouchers (multi-retailer gift) upon attainment of 25 years' continuous service with Lancaster City Council.

2.2. Employees will be invited to a Celebrating Success event (the nearest one to their 25 year anniversary), where they will be formally presented with a Long Service Award Certificate. Celebrating Success events will normally take place in the last quarter of the calendar year.

3.0 Procedure

Prior to the employee achieving 25 years' continuous service, HR will make contact with the employee to arrange for them to receive their award of high street vouchers to the value of £150.00.

The employee will also be invited by HR to attend the nearest Celebrating Success event to their 25 year anniversary. This is an optional event for the employee to attend and may be prior to or after their 25 year anniversary date. The Celebrating Success events provide Lancaster City Council an opportunity to formally recognise and celebrate the commitment that employees have shown to the organisation. Regardless of whether the employee chooses to attend the event, they will still receive a Long Service Award Certificate to recognise their commitment.

Document Control:

Version No.	Effective date	Reason	Review due
1.0	1990	New Policy	
2.0	TBC	Revised Policy agreed Personnel Committee	2 years from effective date

Equality impact assessment form

An equality impact assessment should take place when considering doing something in a new way.

Please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to [‘report clearance’](#) (please refer to report writing guidance).

Please keep your answers brief and to the point. Consideration needs to be reasonable and proportionate.

Please also remember that this will be a public document – do not use jargon or abbreviations.

Section 1: Details

Service	Human Resources
Title and brief description (if required)	Long Service Awards Policy and Procedure
New or existing	Existing Policy
Author/officer lead	Angela Jackson
Date	25.05.17

Does this affect staff, customers or other members of the public?

- Yes** Please complete the rest of the equality form.
- No** Please return the equality form as above.

Section 2: Summary

What is the purpose, aims and objectives?

The Long Service Awards policy and procedure details the arrangements to enable Lancaster City Council to recognise employees’ long service.

Who is intended to benefit and how?

The document exists to ensure that employees understand the arrangements that apply to them in respect of Long Service.

Section 3: Assessing impact

Is there any potential or evidence that this will or could:		
• Affect people from any protected group differently to others?	Yes	
• Discriminate unlawfully against any protected group?		No
• Affect the relations between protected groups and others?		No
• Encourage protected groups to participate in activities if participation is disproportionately low (won't always be applicable)?		No
• Prevent the council from achieving the aims of its' Equality and Diversity Policy?		No

If yes, please provide more detail of potential impact and evidence including:	
<ul style="list-style-type: none"> - A brief description of what information you have and from where eg getting to know our communities data, service use monitoring, views of those affected i.e. discussions or consultation results? - What does this tell you i.e. negative or positive affect? 	
Age including older and younger people and children	The policy provides for an award to be made to staff who have achieved 25 years of service, therefore it generally will be older members of staff who will benefit from this policy, as naturally they will have longer service. The age of employees who attained 25 years' service in the 2016-17 financial year ranged from 43 years old to 69 years old.
Disability	
Faith, religion or belief	
Gender including marriage, pregnancy and maternity	Information for the period April 2013 – March 2018 does show that there was a slighter larger number of men reaching 25 years' service when compared to women, with 54% being men and 46% being women. However, this is broadly in line with current male/female staff ratios of 57% male and 43% female.
Gender reassignment	
Race	
Sexual orientation Including Civic Partnership	

Rural communities	
People on low incomes	

Section 4: Next steps

Do you need any more information/evidence eg statistics, consultation? If so, how do you plan to address this?

Trade Union representatives have been consulted over the revisions.

How have you taken/will you take the potential impact and evidence into account?

Through monitoring of the policy.

How do you plan to monitor the impact and effectiveness of this change or decision?

Employment Policies are reviewed on an ongoing basis.

Thank you for completing this equality impact assessment form, please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to ['report clearance'](#) (please refer to report writing guidance).

PERSONNEL COMMITTEE**Celebrating Success****14th June 2017****Report of the HR Service Manager****PURPOSE OF REPORT**

To enable the Committee to consider and approve the introduction of a Celebrating Success Awards Scheme as part of Lancaster City Council's approach to employee recognition.

This report is public

RECOMMENDATIONS

- (1) That Personnel Committee agree to the introduction of a Celebrating Success Awards Scheme as part of Lancaster City Council's approach to employee recognition.

1. Background

In October 2016 the 'Celebrating Success' brand was introduced at Lancaster City Council with the Celebrating Success – Apprenticeship Event. The event was held to recognise the achievements of Council apprentices who had successfully completed their apprenticeship in 2016 and to welcome all newly appointed apprentices to Lancaster City Council. The event was attended by all apprentices; their families and managers, as well as representatives from the training providers, Councillors, Chief Officers and the Chief Executive. The event was well reported in the media and feedback from attendees was positive.



EMPLOYEE RECOGNITION

2. Proposal

Building on the platform of the apprentice event, it is proposed to introduce a Council wide Celebrating Success Awards Scheme, to recognise the commitment and contribution of Lancaster City Council employees to the Council and community, with an awards event taking place each October.

The event would include presentation of Celebrating Success Awards, as well as presentations to all apprentices who have successfully completed their apprenticeship in the same year and Long Service Award presentations.

Currently the only formalised staff award schemes are the Long Service Award, upon achievement of 25 years' service, and the Long Service Retirement Award. Many organisations are moving away from issuing awards purely due to longevity in employment and tend instead to focus awards on performance, achievement and engagement to support the overall development of a positive and inclusive organisational culture. The expansion of the Celebrating Success Awards Scheme will provide opportunities for those staff who will never achieve 25 years' service to be formally recognised by the Council.

There is a well-established link between recognising staff achievement and improved performance, as the psychological contract between the employee and the organisation is strengthened. Whilst it is hoped that on an ongoing basis managers recognise the successes of their own staff, there is an opportunity to do something at a wider corporate level to recognise and celebrate staff achievements. This activity would also sit well alongside the work being done on values and behaviours, since the Celebrating Success Awards can be tailored to have links with the Council's core values.

The introduction of a Celebrating Success Awards Scheme provides a clear opportunity to recognise and communicate individual and team achievements, where employees have gone the extra mile to deliver exceptional service. The benefits of introducing such a scheme include;

- Recognising achievement of employees both individually and as a team
- Supporting the objectives of the Council
- Increasing staff morale and engagement
- Promoting staff involvement
- A focus on the many positive activities the Council contributes to the community

3. Categories for Celebrating Success Awards

3.1 Nomination awards

It is important that the categories in the nomination section are chosen to reinforce the purpose of the scheme. The awards can be linked to the Council's values and behaviours and/or the corporate objectives; Community Leadership, Health and Wellbeing, Clean and Green Places, Sustainable Economic Growth and to the Council's Values and Behaviours.

Proposed categories are:

- **Outstanding Contribution to the Community**

This award will recognise an employee who has made an outstanding contribution to the people and communities that the Council serve.

- **Apprentice of the Year**

This award will be for the Apprentice who has demonstrated a willingness to learn, develop and go above and beyond their expected duties.

- **Award for Innovation and Enterprise**

This award will recognise an employee who has responded to the challenges the Council faces by developing new and innovative ways of working and/or takes a proactive approach to making things happen and, where appropriate, secures extra resources or investment to help achieve their aims. To be successful in this award the employee will be someone who strives for excellence to deliver a better service, despite the challenges the Council face. They help to make public services more sustainable.

- **Outstanding Customer Service**

This award will recognise an employee who has demonstrated excellent customer service and is dedicated to delivering an excellent service to both internal and external customers. A commitment to their role and a willingness to go over and above, to ensure the job is done will also be demonstrated.

- **Team of the Year**

This award will recognise a team that have demonstrated exceptional team work, showing true team spirit, couple with the ability to deliver excellent service by working effectively and efficiently. The team understand and seek to demonstrate the Council's values and behaviours and work towards them. They seek to develop and maintain close working relationships with other service units and/or external organisations/stakeholders.

- **Award for Partnership Working**

This award will recognise an employee who has developed and progressed partnership working in order to support the aims of the Council.

- **Volunteer of the Year**

This award will recognise an employee or group of employees of the Council who make an outstanding contribution to local people and communities through volunteering.

- **The Lancaster City Council Award**

This award will recognise an individual or team that has gone the extra mile and demonstrated an outstanding contribution to the Council.

- **Mentor/Coach of the Year**

This award will recognise an employee who has helped, inspired and motivated another Council employee/s. Their influence and support will have had a positive impact on an individual's personal and professional development.

3.2 **Achievement Awards**

In addition to the nominated categories, the Celebrating Success Event will also include presentations of:

- **Apprenticeship Awards**

Each apprentice who has successfully completed their apprenticeship will be presented with a certificate recognising their success.

- **Long Service Awards**

This award will recognise those employees who have reached 25 years' service at the Council. Further information on Long Service Awards is contained in a separate report.

There will be an opportunity to build upon the above categories once the scheme is established, to review its success and potentially expand some categories, and also to consider the option of allowing public voting or identifying whether it is possible to obtain sponsorship for some awards.

4. Proposed Process for Introducing Celebrating Success Scheme

4.1 Promotion & Communication

The Scheme would be branded in the current Celebrating Success logo that was used for the Apprenticeship Event and administered and managed by the HR Team. Prior to the event, promotion would take place across the Council to introduce the scheme.

4.2 Nominations

In order to make the awards as inclusive as possible it is not proposed to be overly prescriptive in who is able to nominate and for this reason both colleagues and managers will be able to nominate whoever they consider has effectively demonstrated the criteria. The nomination form will be designed to ensure that sufficient information is captured to enable the judging panel to make an informed decision.

The award categories and information on how to nominate would be released in July, with nominations being made via paper or online form. Nominations will close at the end of August to allow consideration of the nominations to take place in September.

4.3 Judging

It is proposed that the judging panel would be made up of the Chief Executive or nominee, the Chair of Personnel Committee or nominee, a Chief Officer (who would rotate annually), a HR representative and a Trade Union representative.

In order to allow for awards to be reasonably spread across the organisation, it would be appropriate to include a provision within any award guidelines that the same individual or team cannot win an award two years in a row.

4.4 Ceremony

Following the success of the Celebrating Success – Apprenticeship Event, it is proposed that an annual event is held each October. To ensure that this does not impact negatively upon service delivery the event could be an early evening reception at Lancaster Town Hall, including afternoon tea type refreshments.

Invitees to the event would include the Chief Executive & Chief Officers, Councillors, Managers, employees and family members. A number of individuals, including the Chief Executive and Leader of the Council would be asked to speak at the event.

4.5 Awards

All nominees will receive a framed Celebrating Success certificate, with the winner receiving a 'winners' certificate, all signed by the Chief Executive and Leader. In addition the winners will receive a small gift in recognition of the employee's contribution, which is likely to be significantly above anything that the Council awards in monetary terms.

Consideration was given to a number of options for a winner's award. It is proposed that the winner of one of the individual nominated awards should receive a £50 High Street Voucher. It is acknowledged that £50 is a nominal amount and this amount has been suggested in recognition of the financial constraints placed upon the Council.

The winners of the 'Team of the Year' will also receive a Trophy / Shield which will be engraved with their service/team name and which they will be able to retain for the next 12 months.

4.6 Funding the Awards

Based on the proposed categories in this report, the award of a £50 High Street Voucher to the winners of the individual nominated categories, (excluding Team of the Year) would cost £400.

As the Celebrating Success Scheme fits within the broader scope of developing organisational performance and engagement, the awards could be funded from the corporate training budget, though consideration will need to be given to adjusting the corporate training budget in future.

5. Draft timeline for the introduction of the Celebrating Success Scheme

- May/June 2017 – HR communicate the proposals to Trade Unions and Personnel Committee
- June 2017 – HR begin promoting the event to all employees within the council.
- July 2017 to August 2017 – Award categories are published and promotion of the Celebrating Success scheme continues.
- September 2017 – Judging panel review nominations and decide winners in each category.
- October 2017 - Celebrating Success Awards Event.

6. Conclusions

Members are asked to consider and approve the introduction of a Celebrating Success Awards Scheme, so that work can commence on its introduction.

<p>CONCLUSION OF IMPACT ASSESSMENT (including Health & Safety, Equality & Diversity, Human Rights, Community Safety, Sustainability and Rural Proofing):</p> <p>An Equality Impact Assessment has been undertaken.</p>
<p>LEGAL IMPLICATIONS</p> <p>Legal Services have been consulted and have no further comments.</p>
<p>FINANCIAL IMPLICATIONS</p> <p>The cost of funding the awards would be in the region of £500 in the current year (to include a new trophy) and around £450 in future years and should the scheme be approved, in this year the costs would be met from corporate turnover savings (i.e. through virement from the salaries budget). In future years, it is intended that the costs would also be met from the overall employee budgets and this should be readily achievable, given the amounts involved. Nonetheless, it will be reviewed as part of the 2018/19 budget setting process and reported through to Cabinet as need be.</p>
<p>OTHER RESOURCE IMPLICATIONS, such as Human Resources, Information Services, Property, Open Spaces:</p> <p>As set out in the report, HR will implement the scheme.</p>
<p>SECTION 151 OFFICER'S COMMENTS</p> <p>The s151 Officer has been consulted and has no further comments.</p>

MONITORING OFFICER'S COMMENTS

The Monitoring Officer has been consulted and has no further comments.

BACKGROUND PAPERS

Contact Officer: Angela Jackson
Telephone: 01524 58279
E-mail: ajackson@lancaster.gov.uk

Equality impact assessment form

An equality impact assessment should take place when considering doing something in a new way.

Please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to [‘report clearance’](#) (please refer to report writing guidance).

Please keep your answers brief and to the point. Consideration needs to be reasonable and proportionate.

Please also remember that this will be a public document – do not use jargon or abbreviations.

Section 1: Details

Service	Human Resources
Title and brief description (if required)	Celebrating Success
New or existing	New
Author/officer lead	Angela Jackson
Date	30.05.17

<p>Does this affect staff, customers or other members of the public?</p> <p>Yes Please complete the rest of the equality form. No Please return the equality form as above.</p>
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Section 2: Summary

<p>What is the purpose, aims and objectives?</p> <p>The Celebrating Success Scheme will recognise the contribution of Lancaster City Council employees to the Council and Community. It will focus upon performance, achievement and engagement to support the development of a positive and inclusive organisational culture.</p>

<p>Who is intended to benefit and how?</p> <p>All staff will have the opportunity to be nominated for a number of award categories, plus staff who have completed apprenticeships or achieved 25 years long service will also be recognised. The Scheme will recognise and communicate individual and team achievements. It will support the objectives of the Council, increasing staff morale and engagement, promote staff involvement.</p>

Section 3: Assessing impact

Is there any potential or evidence that this will or could:		
• Affect people from any protected group differently to others?	Yes	
• Discriminate unlawfully against any protected group?		No
• Affect the relations between protected groups and others?		No
• Encourage protected groups to participate in activities if participation is disproportionately low (won't always be applicable)?		No
• Prevent the council from achieving the aims of its' Equality and Diversity Policy?		No

If yes, please provide more detail of potential impact and evidence including:	
<ul style="list-style-type: none"> - A brief description of what information you have and from where eg getting to know our communities data, service use monitoring, views of those affected i.e. discussions or consultation results? - What does this tell you i.e. negative or positive affect? 	
Age including older and younger people and children	The Celebrating Success Scheme runs in line with the Long Service Awards where staff are awarded 25 years of service, this is covered in the EIA for Long Service Awards.
Disability	
Faith, religion or belief	
Gender including marriage, pregnancy and maternity	The Celebrating Success Scheme runs in line with the Long Service Awards where staff are awarded 25 years of service, this is covered in the EIA for Long Service Awards.
Gender reassignment	
Race	
Sexual orientation Including Civic Partnership	
Rural communities	
People on low incomes	

Section 4: Next steps

Do you need any more information/evidence eg statistics, consultation? If so, how do you plan to address this?

Trade Union representatives have been consulted over the Scheme.

How have you taken/will you take the potential impact and evidence into account?

Through monitoring of the success of the awards.

How do you plan to monitor the impact and effectiveness of this change or decision?

The Scheme will be reviewed regularly.

Thank you for completing this equality impact assessment form, please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to ['report clearance'](#) (please refer to report writing guidance).

PERSONNEL COMMITTEE**Apprenticeships and the Apprenticeship Levy****14th June 2017****Report of the HR Service Manager****PURPOSE OF REPORT**

To inform the Committee of the introduction of the Apprenticeship Levy and the Council's approach.

This report is public

RECOMMENDATIONS

- (1) That Personnel Committee note the content of the report and the Council's approach to maximise use of the Apprenticeship Levy.

1. Background

The Government has made a commitment to delivering 3 million new apprenticeships starts by 2020, in order to meet skills gaps in the labour market. To support this aim the Government has also been reviewing the provision of apprenticeships, which include revisions to funding and new standards and arrangements for apprenticeships.

To support their proposal the Enterprise Act 2016 contained specific requirements, including the requirement for public sector bodies with a head count of 250 + to *'have regard to'* the achievement of a specific target of new apprenticeship starts each year by considering apprenticeship starts within workforce planning.

The term 'apprentice' is now a legally protected term and can only be used to describe individuals who are undertaking a statutory apprenticeship.

2. Apprenticeship targets for Public Sector Bodies

The Government has confirmed that it expects the public sector to lead the way on apprenticeships, and has set a target of 2.3% of the workforce to be apprentice starts in each year and expects that 40% of all new apprentice starts in the public sector to come from Local Authorities, which is the largest proportion, followed by 32% from the NHS.

As Local Government has a high percentage of part time employees the Local Government Association (LGA) requested that Full Time Equivalent (FTE) rather than headcount be used as the figure from which the 2.3% target is derived. It has been confirmed that headcount will be used for calculation purposes.

The consultation response also advises that public sector bodies must include temporary workers in the overall headcount calculation. The headcount figure has been confirmed as

being taken on 31 March each year, during the period over which the apprenticeship levy will be in place. Based on current staff numbers of around 750 contracted employees plus casual staff **19 new apprentice starts** would be required in the current financial year.

Based on current and previous years' apprenticeships, a target of 19 new starts will be challenging. There are eight individuals currently undertaking apprenticeships at the Council. This is a higher number than in previous years, however none of the current eight apprentices can be counted towards our apprenticeship target as they started their apprenticeship prior to May 2017.

However, 'apprenticeship starts' include not only new employees specifically appointed to start an apprenticeship, but also existing employees who the Council may need to upskill and who may benefit from career development to meet current and future skills and knowledge gaps. The increased flexibility regarding the range of training that will fall within the scope of apprenticeships will better allow for the Council to achieve this challenging target.

The requirement to achieve 2.3% new apprenticeship starts within the workforce can be averaged over the four year reporting period (1 April 2017 – 31 March 2021), allowing the Council to plan for a higher number of apprenticeships in future years.

3. Requirement to report to Secretary of State

All public sector bodies will be required to report annually on progress against the target of an average of 2.3% new apprentice starts for the preceding financial year on:

Reporting period:	Reports due:
1 April 2017 - 31 March 2018	30 September 2018
1 April 2018 - 31 March 2019	30 September 2019
1 April 2019 - 31 March 2020	30 September 2020
1 April 2020 - 31 March 2021	30 September 2021

The Council will be required to supply other information; including equality data and explanations of any failure to meet the target with proposals to address any deficit in future years. Further information is expected in terms of reporting requirements.

4. Apprenticeship Levy

To assist in delivering 3 million apprenticeships by 2020 an apprenticeship levy has been introduced to will fund new apprenticeships starting from 1 May 2017. This was introduced by sections 98 to 121 of the Finance Act 2016 and took effect from 6 April 2017. The Government expects the levy to raise £3 billion per year.

The levy applies to employers with a total pay bill of over £3,000,000, who are required to set aside 0.5% of their total pay bill to fund apprenticeship training.

The levy will be collected on a monthly basis through PAYE and funds will be placed into a Digital Apprenticeship Service account (DAS), with the first funds entering the account at the end of May 2017. As soon as funds are in the Council's levy account, the Council can select training providers to provide apprenticeship programmes. HR will be responsible for liaising with managers and training providers.

The monthly levy funds will be stored in the digital account for 24 months. If the levy money is not spent within the rolling 24 months, the Council will lose that money.

The levy funds can be used:	The levy funds cannot be used for:
For apprenticeship training and assessment	Wages
Against an approved apprenticeship framework or standard	Travel and subsistence costs
For an approved training provider and assessment organisation	The cost of setting up the apprenticeship programme

5. Rules governing pre-May 2017 apprenticeships

The amount of training currently funded by the government varies depending on whether the candidate is:

- aged 16 to 18 –all of their course costs are covered up to advanced level apprenticeship qualifications, e.g. higher diplomas or A-levels
- aged 19 to 23 - half of their course costs are covered
- 24 years and older - may only get a contribution
- funding is not available for any applicants with a degrees

6. Apprenticeships post-May 2017

Employers will be able to use their levy funding to cover the costs of an apprentice’s training, assessment and certification. Employers will not be able to spend an unlimited amount of money on a single apprentice and funding caps will limit the amount of levy funds an employer can spend on training for an individual apprentice. The cap will vary according to the level and type of apprenticeship. Apprenticeship frameworks and standards will fit into one of fifteen bands, each with an upper level cost threshold. The fifteen bands range from an upper limit of £1,500 for Band 1 to an upper limit of £27,000 for Band 15.

The new rules require that all apprenticeships will need to last a minimum of 12 months and involve at least 20% off-the-job training.

Applicants with degrees will now be eligible for apprenticeships under the current funding rules and apprenticeships can be undertaken by individuals at a lower or equivalent level to their highest qualification.

In order to ensure that our levy funds achieve the 2.3% target of apprentice starts against workforce headcount, it will be necessary to consider a good mix of apprenticeships, with the majority coming from the lower cost bands.

New, employer designed apprenticeship, standards are being developed to replace the current apprenticeship frameworks, including ‘Trailblazer’ apprenticeships, which have been developed with employers. Standards will be overseen by a newly created Institute for Apprenticeships.

The table below list examples of apprenticeship courses and their cost:

Apprenticeship	Level (where confirmed)	Provisional cost
IT, Software, Web and Telecoms Professionals	Level 4	£12,000

Customer Service	Level 2	£1,500
Professional accounting taxation technician	Level 4	£9,000
Business Administration	Level 2	£2,000
Town Planning technical support	Level 3	£9,000
Horticulture and Forestry	Level 2	£2,000
Horticulture and Forestry	Level 3	£2,500

7. Apprenticeships at Lancaster City Council – to date

The Council has offered a number of apprenticeship opportunities in recent years and since 2012 has employed 24 apprentices in the following areas:

Planning, HR, ICT, Housing, Dog Warden, Environmental Health, Vehicle Maintenance Unit, Elections, Legal, Customer Services, Gardening, Markets, Sport & Leisure and Joinery.

The majority of Lancaster City Council apprentices have become valuable members of staff and some have gone on to progress within their departments and complete further qualifications.

Prior to 2015 services were able to access a small central fund, which funded the salary costs of apprenticeships, however these were offered without the guarantee of a permanent job at the end of the apprenticeship. During 2015 a revised approach was introduced whereby apprenticeships were only offered where a Service had agreed to convert an existing post to an apprenticeship position thereby giving a guarantee of a permanent job on successful completion. This revised approach, coupled with improved advertising, resulted in a significant increase in applicants.

8. Succession/Workforce Planning & Talent Management

HR staff have recently met with Chief Officers and Service Managers to start introducing a planned approach to succession and workforce planning, alongside talent management. This affords a clear opportunity to have open discussions about known and potential staff changes, current risks to providing good quality service and how those risks can be best managed via development of existing staff, if possible.

Any succession planning approach or strategy needs to recognise that the Council may need to seek to grow and invest in talent to prevent future skills gaps developing. For example, there is an extremely limited supply of planning professionals, and it is a potentially risky strategy to rely on existing professionals to move between Local Authorities. Likewise it is acknowledged that recruiting ICT staff is becoming increasingly difficult and the introduction of the new approach to apprenticeships affords an opportunity to consider further development of in house staff or the recruitment of new staff with opportunities for training and qualifications attached to the vacancy.

Whilst it is important that apprenticeships are offered in all Services, it is likely some areas will have a greater need for apprenticeships to commence sooner than other areas, since some roles will have a higher priority for the organisation as a whole.

As part of the succession planning meetings each Service area will identify those key posts, where continuity needs to be maintained, and where there are opportunities for developing

existing staff. As part of the Council's approach to succession planning it may be necessary to consider approaches that have not been considered before, in order to protect the Council from problems in recruitment.

Succession planning therefore needs to feed into the budget planning process, to ensure that staff budgets are adjusted if there is an identifiable need that can only be met through recruitment.

There will therefore be a need to consider and prioritise Service needs and as part of this it will be possible to identify staff who can undertake apprenticeships not only in the first year, but in the years up to and including 2020-21. It is essential that, in order for Services to appropriately identify staff for future development opportunities, annual appraisals will be carried out in all cases.

The results from the last 2014 Staff Survey showed that employees felt there was little or no training opportunities for them within the Council. The apprenticeship levy will allow the Council to go some way to improving access to training for some staff, allowing them to build their knowledge and skills.

9. Apprenticeship Recruitment

Whilst it is probable that the majority of new apprenticeships will be undertaken by existing staff, it remains important that managers continue to identify roles, which if they become vacant, could be converted to an apprentice opportunity and to discuss those with HR at an early point.

This approach will allow the Council to continue to build upon the success that we have recently achieved in bringing a high standard of apprentices into the Council. This approach also ensures that apprentice salaries are absorbed within current staff budgets, as the posts already exist.

Apprenticeships will continue to be widely marketed via our website, social media, local schools, the training provider's website, the local press, and careers fairs. HR resources permitting, there are opportunities to widen outreach activities and to begin to market the Council as an 'employer of choice' in the local area.

The HR recruitment pages on the Council website have been updated to include a new apprenticeship section, providing information about apprenticeships at Lancaster City Council. Additionally a new facility to register interest in an apprenticeship at Lancaster City Council has been created and, as and when future apprenticeship vacancies arise, information will be provided to those individuals who have already registered their interest.

10. Human Resources – Learning & Development

The revised approach to apprenticeships affords Services, working with HR, a clear opportunity to consider upskilling members of staff to fill existing or potential skills gaps, so that the Council is in a far more robust position to deal with known and unknown workforce challenges.

It is appropriate to note here that learning & development activity has reduced to a relatively low level over a number of years, due to the high number of other priorities that have diverted resources elsewhere.

In anticipation of the need to significantly increase the amount of activity that would fall within the scope of learning and development; including the apprenticeship levy, the upcoming reaccreditation for IIP, development of the Learning Zone, reviewing progress against the 2014 Staff Survey outcomes and working on the 2017 Staff Survey, plus the ongoing need to improve management competency across the Council, a request had been made via the budget

planning process for increased learning and development support. Unfortunately this request was not supported for 2017-18, which will inevitably impact upon progress and outputs. The impact will be monitored over the coming months and if it becomes apparent that priorities cannot be accommodated within existing resources, then either decisions will need to be taken on priorities or additional resources will need to be sought.

There is a clear opportunity to change the perception that the Council does not invest in staff training with the introduction of the apprentice levy, however, it is vital that managers communicate this information clearly and understand that apprenticeship training will have to be appropriately utilised across the Council. All managers will therefore play an important role in sharing a positive message about this opportunity and showing their support by ensuring that appraisals happen in 2017 and in coming years.

11. Future considerations

Subject to how successful or otherwise the Council is in meeting its levy target there may, in the future, be a need to consider re-instituting a central fund for a small number of apprenticeships. Clearly this would need to be given appropriate consideration as part of the budget planning process. Any such fund could be focussed on areas with the highest instances of current and future skills shortages, as identified via succession/workforce planning.

12. Recommendations

Members are asked to note the content of the report and the Council's plans to maximise use of the Apprenticeship Levy.

**CONCLUSION OF IMPACT ASSESSMENT
(including Health & Safety, Equality & Diversity, Human Rights, Community Safety, Sustainability and Rural Proofing):**

An Equality Impact Assessment has been undertaken.

LEGAL IMPLICATIONS

There are no legal implications arising from this report. The Council will need to ensure that it meets its legal requirements concerning the payment and use of the apprenticeship levy as set out in the Finance Act 2016. In addition to this, it will need to ensure that it meets its obligations under part 7A of the Income Tax (Pay as You Earn) Regulations 2003 (as added by Income Tax (Pay As You Earn) (Amendment) Regulations 2017/414).

FINANCIAL IMPLICATIONS

The 2017/18 Revenue budget (and future years inflated) includes an estimate of £63,400 as the 0.5% levy on estimated City Council total pay for 2017/18. This money together with the 10% Government top up will be held by Government in a Digital Apprentice Service account and will be available to the Council to fund future Apprentice training. Arrangements for the drawing down and management of the funds will be agreed between HR and Financial Services.

OTHER RESOURCE IMPLICATIONS, such as Human Resources, Information Services, Property, Open Spaces:

Impact on HR resources are set out in the report.

SECTION 151 OFFICER'S COMMENTS

The s151 Officer has been consulted and has no further comments.

MONITORING OFFICER'S COMMENTS

The Monitoring Officer has been consulted and has no further comments.

BACKGROUND PAPERS

Contact Officer: Angela Jackson
Telephone: 01524 58279
E-mail: ajackson@lancaster.gov.uk

Equality impact assessment form

An equality impact assessment should take place when considering doing something in a new way.

Please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to [‘report clearance’](#) (please refer to report writing guidance).

Please keep your answers brief and to the point. Consideration needs to be reasonable and proportionate.

Please also remember that this will be a public document – do not use jargon or abbreviations.

Section 1: Details

Service	Human Resources
Title and brief description (if required)	Apprentices & the Apprenticeship Levy
New or existing	New
Author/officer lead	Angela Jackson
Date	30.05.17

<p>Does this affect staff, customers or other members of the public?</p> <p>Yes Please complete the rest of the equality form. No Please return the equality form as above.</p>
--

Section 2: Summary

<p>What is the purpose, aims and objectives?</p> <p>The purpose of the report is to inform Personnel Committee of the impact of the Apprenticeship Levy on Lancaster City Council.</p>

<p>Who is intended to benefit and how?</p> <p>The Apprenticeship Levy affords the Council an opportunity to ensure that Levy funds are used to support the development of new apprentices and upskill existing staff via apprenticeship training.</p>
--

Section 3: Assessing impact

Is there any potential or evidence that this will or could:		
• Affect people from any protected group differently to others?	Yes	
• Discriminate unlawfully against any protected group?		No
• Affect the relations between protected groups and others?		No
• Encourage protected groups to participate in activities if participation is disproportionately low (won't always be applicable)?		No
• Prevent the council from achieving the aims of its' Equality and Diversity Policy?		No

If yes, please provide more detail of potential impact and evidence including:	
<ul style="list-style-type: none"> - A brief description of what information you have and from where eg getting to know our communities data, service use monitoring, views of those affected i.e. discussions or consultation results? - What does this tell you i.e. negative or positive affect? 	
Age including older and younger people and children	Whilst apprenticeships are available to individuals of any age, the majority of applications for new apprenticeship posts come from younger people. All posts are advertised widely and applicants are welcomed from all age ranges. Any opportunities for existing staff to undertake an apprenticeship qualification will be based on business need.
Disability	
Faith, religion or belief	
Gender including marriage, pregnancy and maternity	
Gender reassignment	
Race	
Sexual orientation Including Civic Partnership	
Rural communities	
People on low incomes	

Section 4: Next steps

Do you need any more information/evidence eg statistics, consultation? If so, how do you plan to address this?

Trade Union representatives have been consulted.

How have you taken/will you take the potential impact and evidence into account?

The impact of the Apprenticeship Levy will be reviewed regularly.

How do you plan to monitor the impact and effectiveness of this change or decision?

The impact of the Apprenticeship Levy will be reviewed regularly.

Thank you for completing this equality impact assessment form, please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to ['report clearance'](#) (please refer to report writing guidance).

PERSONNEL COMMITTEE

Performance Appraisal

14th June 2017

Report of the HR Service Manager

PURPOSE OF REPORT

To enable the Committee to consider and approve revisions to the staff appraisal scheme.

This report is public

RECOMMENDATIONS

(1) That Personnel Committee agree to revisions to the Council’s staff appraisal scheme.

1. Background

The Council’s annual staff appraisal scheme known as EDPA ‘Employee Development and Performance Appraisal’ has been in existence since 2006. Since its introduction engagement in the process has been inconsistent across Service areas.

There is a clear need to ensure that annual appraisals take place across the Council and Management Team have confirmed their support for a ‘relaunch’ of the appraisal scheme in 2017.

There are a number of clear benefits to having an annual appraisal which include; improving staff engagement and performance, ensuring that staff know how their role contributes to the success of the Council, improved succession and workforce planning and ensuring that staff skills are kept updated.

2. Proposal

A number of focus groups took place at the end of 2016 and feedback from those focus groups was incorporated into the revised appraisal scheme, which includes the following amendments or changes:

2.1 Renaming

It is intended to change the name of the appraisal process from ‘Employee Development and Performance Appraisal’ to ‘Performance Appraisal’, which will establish a clearer link between corporate and individual performance.

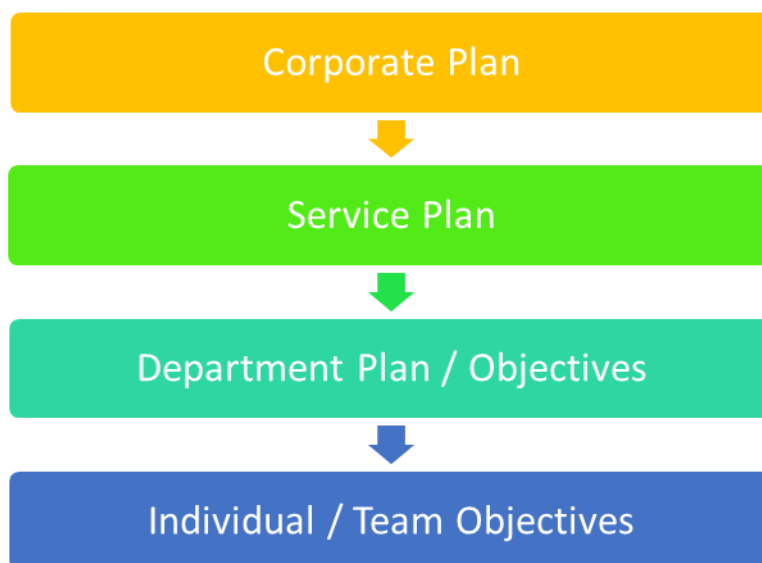
Employee development will still be a key part of the appraisal discussion and managers will be expected to discuss with their staff the links between development opportunities and improvements in individual and Service performance.

2.2 Link to the Corporate Plan

Whilst there has always been an expectation that individual objectives should link to the overall objectives of the Council, in 2017 managers will be asked to ensure that the link between the individual and the Council is as explicitly made as possible. This clear link between the individual employee and their performance and the overall performance of the organisation is known as the ‘Golden Thread’.

There should be a clear link between the Corporate Plan and any Service, team and individual objectives, providing a ‘top down’ approach from the Corporate Plan through to individual objectives. It is important that everyone understands the part they and others play in achieving the aims and objectives of the Corporate Plan. For example, staff in central or other service areas which may not be directly referenced in the Corporate Plan should understand (and be recognised for) how their work contributes to achieving other functional or corporate objectives and the overall successes of Lancaster City Council.

Additionally, the work currently underway in preparation for the 2018 Corporate Plan will provide an opportunity for a much clearer link to be made from the overarching corporate plan, via corporate and operational objectives, down to individual staff and their contribution to success.



2.3 Timescales

Appraisals for Chief Officers should take place first and then a cascade of appraisals should take place down the line management chains across the organisation. For the 2017-18 year all appraisals should be completed by 31 August 2017, with completed documentation returned to HR by 30 September 2017. In subsequent years the timescale for completion may be brought forward.

2.4 Removal of mid-year review

In recognition of feedback from managers that they consider the previous process to be overly onerous the formal mid-year review is being removed from the Performance Appraisal process.

Whilst there will be no formal mid-year review, it is expected that managers will revisit individual objectives as part of their regular discussions with their staff throughout the year.

2.5 Introduction of a single form

The separate EDPA and DAP forms will be merged into one appraisal form, thereby reducing the amount of paperwork involved and the revised form (see Appendix A) has been reviewed and improved to make it simpler to complete.

In light of feedback from the focus groups, consideration was given to the introduction of a group appraisal form aimed at manual staff. However Senior Service Managers in Environmental Services have confirmed that they do want to undertake individual appraisals for all manual staff.

3. Setting and Measuring Objectives

3.1 Self-Assessment

The element of self-assessment will remain an important expectation of the process, whereby employees will have the opportunity to evaluate their own performance and provide information to their line manager prior to the appraisal meeting. A revised form has been created for this purpose (see Appendix B). Self-assessment makes an important contribution to a positive appraisal experience, ensuring individuals take the time to review their past performance in advance of the meeting with their manager, thereby enabling a more productive and two-way conversation.

3.2 Performance Objectives

It is expected that a minimum of four objectives should be agreed for each individual. Objectives will have a link to the broader corporate and operational performance objectives that are identified by each Service unit, and which link to the Corporate Plan. Objectives can be individual to a person or shared across a team.

All objectives that are agreed in the Performance Appraisal meeting will be set in line with SMART principles.

3.3 Introducing Values and Behaviours into Performance Appraisal

The revised appraisal form also includes reference to the Council's Values and Behaviours and managers are expected to ensure in the 2017 appraisal round that their staff are aware of the Council's Values and Behaviours and where and how to find more information on these.

It is intended that in future years value based objectives will be introduced into the Performance Appraisal process to ensure that all Council staff understand that how they perform and behave helps determines the culture that the Council wants to foster.

4. Learning & Development

4.1 Appraisal training

For successful completion of performance appraisals, it is important that, as well as being engaged with the process, all line managers have the required level of capability to conduct a successful appraisal.

Mandatory appraisal training has been arranged for all managers across the Council. The sessions cover:

- The importance of undertaking appraisals;
- Planning and preparing to undertake effective and productive appraisal interviews;
- Identifying how to set realistic targets/objectives;
- Understanding the steps within the appraisal process.

Managers will play an important role in sharing a positive message about employee appraisal and showing their support for this key people initiative by ensuring that appraisals are conducted in 2017.

4.2 Learning Zone

In the future it is intended to develop online learning for managers and staff in understanding Performance Appraisal, setting objectives etc. Due to current resources and other competing

priorities this will not be available prior to appraisals commencing in 2017.

Once available, the online learning will be a useful tool for any managers who have not attended the appraisal workshops or those who are new to the Council. It will also be a useful 'go to' reference for any manager who needs to refresh their knowledge at any point during the year.

In the future, the Learning Zone could be used as a tool to run the Performance Appraisal process, subject to funding being available to purchase the next level of functionality, which includes a number of other functions that would benefit the Council. The ability to complete appraisals on line will streamline the process, allow easier access to information for the employee and line manager and also be easier to administer and report on.

5. Conclusions

Members are asked to consider and approve the revisions to the staff appraisal scheme, which will be renamed 'Performance Appraisal'.

CONCLUSION OF IMPACT ASSESSMENT (including Health & Safety, Equality & Diversity, Human Rights, Community Safety, Sustainability and Rural Proofing):	
An Equality Impact Assessment has been undertaken.	
LEGAL IMPLICATIONS	
Legal Services has been consulted and there are no further comments.	
FINANCIAL IMPLICATIONS	
There are no direct implications as a result of this report. It is expected that going forward the Appraisals will inform training plans and how the training budgets will be spent.	
OTHER RESOURCE IMPLICATIONS, such as Human Resources, Information Services, Property, Open Spaces:	
Not applicable.	
SECTION 151 OFFICER'S COMMENTS	
The s151 Officer has been consulted and has no further comments.	
MONITORING OFFICER'S COMMENTS	
The Monitoring Officer has been consulted and has no further comments	
BACKGROUND PAPERS	Contact Officer: Angela Jackson Telephone: 01524 58279 E-mail: ajackson@lancaster.gov.uk

Performance Appraisal

Employee Name:		Current Post	
Current Post:		Number of years in post:	
Line Manager:		Date of EDPA Interview:	

Section 1: Objectives and Achievements – previous 12 months

Objective 1	
	Exceeded objective <input type="checkbox"/> Met objective <input type="checkbox"/> Objective partially met <input type="checkbox"/> Objective not met <input type="checkbox"/>
Objective 2	
	Exceeded objective <input type="checkbox"/> Met objective <input type="checkbox"/> Objective partially met <input type="checkbox"/> Objective not met <input type="checkbox"/>
Objective 3	
	Exceeded objective <input type="checkbox"/> Met objective <input type="checkbox"/> Objective partially met <input type="checkbox"/> Objective not met <input type="checkbox"/>
Objective 4	
	Exceeded objective <input type="checkbox"/> Met objective <input type="checkbox"/> Objective partially met <input type="checkbox"/> Objective not met <input type="checkbox"/>

Performance Objectives – Next 12 Months

Objective 1		
Objective 2		
Objective 3		
Objective 4		
Employee has current Job Description, which has been discussed and reviewed <input type="checkbox"/>	Objectives linked to Corporate Plan, Service Business Plan and Service Performance Indicators? <input type="checkbox"/>	Values and Behaviours at Lancaster City Council have been discussed <input type="checkbox"/>

Section 2: Health and Safety

Has the employee’s Health and Safety Risk Assessment been reviewed? <input type="checkbox"/>
<i>If any specific issues/actions/resources/training needs arise from employees Health and Safety Risk Assessment please give detail:</i>
Have you discussed the H & S management and employee responsibilities with the employee <input type="checkbox"/>
<i>Please refer to “Specific H & S Responsibilities” available with EDPA paperwork on ELSIE.</i>
Does the employee have any nominated person duties? E.g., Fire Warden, First Aider or DSE Assessor? <input type="checkbox"/>
<i>If yes, please specify what nominated duties apply and if any specific issues/actions/resources/training needs are required from the employees duties acting as a nominated person</i>

Section 3a: Mandatory Training

Please confirm that the employee has completed the essential training required and has kept their knowledge up to date by completing refresher training as and when required.					
Office Based Worker			Non Office based Worker (no access to PC)		
Course Name	Complete and current		Course Name	Complete and current	
Manual Handling (LZ)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Manual Handling (F2F)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Data Protection Awareness (LZ)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Safeguarding Awareness (CSE) (Booklet)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Information Governance (LZ)	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
Safeguarding (Child Protection) (LZ)	Yes <input type="checkbox"/>	No <input type="checkbox"/>			
Safeguarding Adults (LZ)	Yes <input type="checkbox"/>	No <input type="checkbox"/>			

Section 3b: Corporate and Service Training Development Needs:

Development Need/s	Priority <i>(Low, Medium or High?)</i>	Method <i>(eg course, mentoring, coaching, working groups, networking etc)</i>	Date Required By?	Provided By? <i>(If known)</i>	Budget <i>(Service, Corporate or Internal Delivery)</i>

Section 3c: Training and/or development activities undertaken in the past year

Activities Undertaken	Date	What has the member of staff gained from their training and/or development activities and how do they intend to use these new skills?

Section 4: Overall Assessment of Performance and engagement

This should not be considered until all factors above have been discussed, assessed and agreed; they should then be used as the basis for deciding the overall assessment, but this should not be to the exclusion of other relevant factors.

Appraiser's comments
Employee's comments

These notes have been agreed by both of us as a record of our Employee Development & Performance Appraisal meeting:

Employee	Signed:		Print Name:		Date:	
Manager	Signed:		Print Name:		Date:	
Our next review date will be:						

Once completed and signed by both parties, one copy must be retained by the manager, one by the employee and one copy sent to Learning and Development by the manager via email (preferred method): learninganddevelopment@lancaster.gov.uk or internal mail if necessary to the HR Office, Lancaster Town Hall.

Your Performance Appraisal

Use the questions below to assist you and your appraiser to have a helpful and constructive discussion when you meet for your appraisal. Please make sure you send a copy of the completed sheet to your appraiser so it can be used during your appraisal.

Objectives and Achievements

Looking at the objectives you agreed at your last appraisal, what steps have you taken to achieve them?

What aspect of your performance this year are you most pleased with?

Are there any difficulties or problems you have encountered in your role during the last 12 months?

What do you think will be your main tasks and responsibilities for the coming year?

What, if anything, *do you believe* prevents you from doing a good job?

Personal Development

Have you completed any training or personal development activities over the last 12 months? *(If Yes, please comment on how you have used these new skills)*

Are there any areas in your role where you believe further personal development or training solutions would help you to achieve your performance/objectives?

(Remember development can include informal methods such as mentoring, coaching and shadowing as well as formal training courses (including web based))

Equality impact assessment form

An equality impact assessment should take place when considering doing something in a new way.

Please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to [‘report clearance’](#) (please refer to report writing guidance).

Please keep your answers brief and to the point. Consideration needs to be reasonable and proportionate.

Please also remember that this will be a public document – do not use jargon or abbreviations.

Section 1: Details

Service	Human Resources
Title and brief description (if required)	Performance Appraisal
New or existing	Existing
Author/officer lead	HR Service Manager
Date	30 May 2017

Does this affect staff, customers or other members of the public?

Yes Please complete the rest of the equality form.

Section 2: Summary

What is the purpose, aims and objectives?

The revised Performance Appraisal Scheme aims to establish a clearer link between corporate and individual employee performance. The objective is to ensure that staff know how their role contributes to the success of the Council, it also aims to ensure that all employees have an annual performance appraisal.

Who is intended to benefit and how?

The revised scheme intends to benefit all employees of the Council by ensuring that all employees have an annual performance appraisal that are linked to corporate and operational performance. This will also benefit the Council as there will be a clearer link between individual performance and the overall success of Lancaster City Council.

Section 3: Assessing impact

Is there any potential or evidence that this will or could:		
• Affect people from any protected group differently to others?		No
• Discriminate unlawfully against any protected group?		No
• Affect the relations between protected groups and others?		No
• Encourage protected groups to participate in activities if participation is disproportionately low (won't always be applicable)?		No
• Prevent the council from achieving the aims of its' Equality and Diversity Policy?		No

If yes, please provide more detail of potential impact and evidence including:	
<ul style="list-style-type: none"> - A brief description of what information you have and from where eg getting to know our communities data, service use monitoring, views of those affected ie discussions or consultation results? - What does this tell you ie negative or positive affect? 	
Age including older and younger people and children	
Disability	
Faith, religion or belief	
Gender including marriage, pregnancy and maternity	
Gender reassignment	
Race	
Sexual orientation Including Civil Partnership	
Rural communities	
People on low incomes	

Section 4: Next steps

Do you need any more information/evidence eg statistics, consultation? If so, how do you plan to address this?

Feedback from a number of employee focus groups has been incorporated into the revised appraisal scheme. Trade Unions have also been consulted.

How have you taken/will you take the potential impact and evidence into account?

Feedback has already been taken into account in the revised Performance Appraisal Scheme.

How do you plan to monitor the impact and effectiveness of this change or decision?

The Policy will be reviewed on an ongoing basis.

Thank you for completing this equality impact assessment form, please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to ['report clearance'](#) (please refer to report writing guidance).

PERSONNEL COMMITTEE

Values and Behaviours

14th June 2017

Report of the Chief Executive

PURPOSE OF REPORT
To enable the Committee to consider and approve the introduction of a framework of values and behaviours to support people management processes and drive organisational cultural change.
This report is public

RECOMMENDATIONS

(1) That Personnel Committee agree to the introduction of a framework of values and behaviours to support people management processes and drive organisational culture.

1. Background

Over the past months the Chief Executive has been working with managers from across the Council to form a set of values and behaviours to set a tone for the organisational culture, and support the delivery of the Council’s strategic objectives at every level.

The Performance Management Appraisal Process presents an opportunity to define ‘what success looks like’ in a format common to all service areas and levels of the organisation. Service-specific delivery outcomes and objectives will still need to be defined by managers as a critical part of the process, e.g. Environmental Health or Planning. However these can be underpinned by a set of values and behaviours that is shared by all employees aimed at embedding them into the culture of the organisation.

Discussions have taken place with Management Team, senior managers and a wider group of team leaders to determine what these values and behaviours might entail. These discussions have resulted in the formulation of five recommended Lancaster City Council values and the desired behaviours associated with these, which were distilled from a range of comments attached at Appendix A. The five recommended values and behaviours are:

- Value:** *Excellent Public Service Outcomes*
- Behaviours:**
 - put citizens at the heart of decisions
 - go the extra mile
 - set, communicate and deliver clear objectives
 - learn from previous experience and best practice
 - see outcomes through to completion

Value: *Trust and Integrity*

Behaviours: appreciate different perspectives
let others know what's happening
do what you say you're going to do
be able to and willing to explain decisions
act consistently and fairly

Value: *Teamwork and Collaboration*

Behaviours: solve problems as a team across services
plan ahead to work together
commit and share resources
share ownership of outcomes
celebrate success together

Value: *Responsibility and Accountability*

Behaviours: take ownership beyond your own role
communicate openly
proactively give others information
manage risks based on informed decisions
challenge established thinking

Value: *Contribution to the Place*

Behaviours: consider the wider regional context
work with and support partners
understand the context, people and demand
take professional and personal pride in the Council's work

2. Proposal

It is proposed that the Values and Behaviours framework be adopted into Lancaster City Council's people management processes. Initially this would include performance appraisals, but in future could support the full spectrum of processes from recruitment onwards, all in support of the Council's ethos and helping it to achieve its corporate aims and objectives.

3. Conclusions

Members are asked to consider and approve the introduction of a Values and Behaviours framework, so that work can commence on its introduction.

CONCLUSION OF IMPACT ASSESSMENT

(including Health & Safety, Equality & Diversity, Human Rights, Community Safety, Sustainability and Rural Proofing):

An Equality Impact Assessment has been undertaken.

LEGAL IMPLICATIONS

There are no legal implications as a result of this report

FINANCIAL IMPLICATIONS

There are no direct financial implications as a result of this report at this stage, although embedding the proposed values and behaviours throughout the authority would help the Council in securing better use of resources and ultimately, they could help deliver financial

benefits for the Council.

OTHER RESOURCE IMPLICATIONS, such as Human Resources, Information Services, Property, Open Spaces:

HR will undertake work across a range of areas to support the embedding of the corporate values and behaviours.

SECTION 151 OFFICER'S COMMENTS

The s151 Officer has been consulted and has no comments to add.

MONITORING OFFICER'S COMMENTS

The Monitoring Officer has been consulted and has no further comments.

BACKGROUND PAPERS

Contact Officer: Susan Parsonage
Telephone: 01524 582011
E-mail: chiefexecutive@lancaster.gov.uk

trust and integrity

excellent public service outcomes

teamwork and collaboration

responsibility and accountability

contribution to the place

TRUST AND INTEGRITY

how would I demonstrate this?

- appreciate different perspectives: negotiate and work through to find a solution
- let others know what's happening
- support each other
- do what you say you're going to do
- own up when things go wrong
- act courageously and consistently
- be able and willing to explain decisions
- honesty and openness
- consistency and fairness
- confidence in individuals' and teams' abilities
- giving respect and not pre-judging

how would I not demonstrate this?

- blame others
- take credit not responsibility
- say one thing and do another
- undermine each other
- talking 'out of school'
- playing people off against each other
- giving the easy answer which may not be the right one
- passing the buck

EXCELLENT PUBLIC SERVICE OUTCOMES

how would I demonstrate this?

- putting citizens at the heart of decisions
- listening and involving citizens
- everyone going the extra mile
- seeing the bigger picture ***caring**
- setting, communicating and delivering clear objectives
- planning and coordinating across whole organisation and with partners and appreciating everyone's efforts
- learning from previous experience and from others' best practice
- taking satisfaction in satisfying customers
- pride in the job, council and yourself
- responsible for your actions
- seeing work through to completion
- managing expectations appropriately
- reflecting values in all work

how would I not demonstrate this?

- ignoring democratic accountability
- working to my own agenda
- viewing the council as a private enterprise
- false or insincere planning and collaboration
- management by numbers, fixed and inflexible
- responding to 'vox pop' and making 'knee-jerk' decisions
- failing to take responsibility: 'not my job'
- dealing unsatisfactorily with matters, causing additional complaints later on
- hiding behind policy
- indecision
- silo thinking and attitude
- defensive and evasive behaviour
- excessive risk-aversion

TEAMWORK AND COLLABORATION

how would I demonstrate this?

- team problem-solving
- understanding individual perspectives
- making time to collaborate and planning ahead
- taking ownership as 'one council'
- working across departmental boundaries
- trusting others to do the job
- sophisticated and joined-up thinking
- speaking with one voice
- celebrating success
- committing and sharing resources
- sharing information
- creating a forum for discussion
- shared ownership of outcomes
- inclusiveness
- use technology to promote both formal and informal communication
- 'can do' approach to working together
- avoid backstabbing
- using persuasive language and having open conversations

how would I not demonstrate this?

- silo working and departmentalism
- opting out: 'not my job'
- not listening after consultation
- insufficient planning
- mistrust of others
- visible conflict

RESPONSIBILITY AND ACCOUNTABILITY

how would I demonstrate this?

- taking ownership beyond your own role
- being open and communicating
- proactively giving others information
- monitoring and constructively challenging
- tackling issues quickly and decisively
- managing risks based on informed decisions
- visible mutual support for others
- building resilience
- courageous and confident decision-making
- challenging established thinking
- celebrating success

how would I not demonstrate this?

- passing the buck
- ignoring others' contributions
- secretive working within departments
- blaming others
- providing inadequate explanations
- allowing exposure to untrue or inaccurate information
- reacting inappropriately to issues
- not identifying the right people for the task
- excessive risk-aversion
- distrust between members, staff and citizens
- dogmatic and inflexible decision-making

CONTRIBUTION TO THE PLACE

how would I demonstrate this?

- considering the wider regional context
- working with and supporting partners
- ambassadorial communication
- working for the common good
- stewardship of the area
- punching above our weight as a district
- focusing on overall outcomes
- focusing on the positives
- celebrating success
- understanding and working with expectations
- going the extra mile
- communicating effectively
- understanding the context, people and demand
- taking professional and personal pride

how would I not demonstrate this?

- focusing on the negatives
- keeping quiet and downplaying the district
- looking after own interests

Equality impact assessment form

An equality impact assessment should take place when considering doing something in a new way.

Please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to [‘report clearance’](#) (please refer to report writing guidance).

Please keep your answers brief and to the point. Consideration needs to be reasonable and proportionate.

Please also remember that this will be a public document – do not use jargon or abbreviations.

Section 1: Details

Service	Human Resources
Title and brief description (if required)	Values and Behaviours
New or existing	New
Author/officer lead	Office of the Chief Executive
Date	2 June 2017

Does this affect staff, customers or other members of the public?

Yes Please complete the rest of the equality form.

Section 2: Summary

What is the purpose, aims and objectives?

To introduce a framework of values and behaviours to support processes and drive organisational culture

Who is intended to benefit and how?

The framework intends to benefit all employees of the Council by ensuring that all employees understanding how they contribute to the success of the Council. By introducing a framework that in the future link to performance appraisal ensuring that all employees understand what the values and behaviours are.

Section 3: Assessing impact

Is there any potential or evidence that this will or could:		
• Affect people from any protected group differently to others?		No
• Discriminate unlawfully against any protected group?		No
• Affect the relations between protected groups and others?		No
• Encourage protected groups to participate in activities if participation is disproportionately low (won't always be applicable)?		No
• Prevent the council from achieving the aims of its' Equality and Diversity Policy?		No

If yes, please provide more detail of potential impact and evidence including:	
<ul style="list-style-type: none"> - A brief description of what information you have and from where eg getting to know our communities data, service use monitoring, views of those affected i.e. discussions or consultation results? - What does this tell you i.e. negative or positive affect? 	
Age including older and younger people and children	
Disability	
Faith, religion or belief	
Gender including marriage, pregnancy and maternity	
Gender reassignment	
Race	
Sexual orientation Including Civic Partnership	
Rural communities	
People on low incomes	

Section 4: Next steps

Do you need any more information/evidence eg statistics, consultation? If so, how do you plan to address this?

Discussion and contribution from Management Team / Senior Service Managers and a wider group of manage has determine what the values and behaviour might look like.

How have you taken/will you take the potential impact and evidence into account?

Through performance monitoring, including the appraisal process.

How do you plan to monitor the impact and effectiveness of this change or decision?

The framework will be reviewed on an ongoing basis.

Thank you for completing this equality impact assessment form, please submit your completed form as an appendix to your committee reports for monitoring and publishing purposes to ['report clearance'](#) (please refer to report writing guidance).