



Employment and Appointments Committee

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| Date: | Thursday, 29 September 2011 |
| Time: | 6.15 pm |
| Venue: | Committee Room 1 - Wallasey Town Hall |

Contact Officer: Andrew Mossop
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AGENDA

1. MEMBERS' CODE OF CONDUCT - DECLARATIONS OF INTEREST

Members are asked to consider whether they have personal or prejudicial interests in connection with any item(s) on this agenda and, if so, to declare them and state what they are.

2. MINUTES (Pages 1 - 10)

To receive the minutes of the meetings held on 9 June and 11 August, 2011.

3. THE PEOPLE STRATEGY - REVIEW OF THE ACTIVITY PLAN (Pages 11 - 26)

4. WHISTLEBLOWING POLICY (Pages 27 - 60)

5. BRIBERY ACT 2010 (Pages 61 - 70)

6. MANAGING ATTENDANCE

Report to follow.

7. WORKFORCE MONITORING (Pages 71 - 94)

8. UPDATE ON MANAGING WORKFORCE CHANGE AND REDEPLOYMENT (Pages 95 - 100)

9. REVENUES, BENEFITS AND CUSTOMER SERVICES SENIOR STAFFING (Pages 101 - 104)

10. INWARD INVESTMENT MANAGER (Pages 105 - 110)

11. ESTABLISHMENT OF A POST OF SOCIAL ENTERPRISE MANAGER (Pages 111 - 118)

12. PERFORMANCE MANAGEMENT

Report to follow, subject to Cabinet decision.

13. EMPLOYMENT AND APPOINTMENTS SUB-COMMITTEE MINUTES (Pages 119 - 120)

The minutes of the Employment and Appointments Sub-Committee held on 14 July, 2011, are submitted for information.

14. APPEALS SUB-COMMITTEE MINUTES (Pages 121 - 128)

The minutes of the Appeals Sub-Committee meetings held on 9 and 16 June, 26 July and 9 August, 2011 are submitted for information.

15. INTERIM MANAGEMENT ARRANGEMENTS

Report to follow.

16. RESTRUCTURE OF THE ADULT SOCIAL SERVICES DEPARTMENT

Report to follow, subject to Cabinet decision.

17. ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR (PART 1)

18. EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC

The public may be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information.

RECOMMENDED –

That in accordance with section 100A (4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by the relevant paragraphs of Part 1 of Schedule 12A to that Act. The public interest test has been applied and favours exclusion.

19. EXEMPT APPENDIX - INTERIM MANAGEMENT ARRANGEMENTS

Appendix to follow.

20. EXEMPT APPENDIX 4 - RESTRUCTURE OF ADULT SOCIAL SERVICES

Appendix to follow, subject to Cabinet decision.

21. ALLEGATIONS AGAINST EMPLOYEES (Pages 129 - 130)

22. ANY OTHER URGENT BUSINESS APPROVED BY THE CHAIR (PART 2)

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EMPLOYMENT AND APPOINTMENTS COMMITTEE

Thursday, 9 June 2011

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|-----------------|-------------|--|-----------------------|
| <u>Present:</u> | Councillor | AER Jones (Chair) | |
| | Councillors | S Foulkes JE Green M Johnston | P Kearney L Rennie |
| <u>Deputies</u> | Councillors | B Kenny (in place of G Davies) J Stapleton (in place of P Davies) | |

1 CHAIR'S REMARKS

The Chair welcomed everyone to the first meeting in this municipal year of the Employment and Appointments Committee and paid tribute to his predecessor, Councillor Ann Bridson.

2 MEMBERS' CODE OF CONDUCT - DECLARATIONS OF INTEREST

Members of the Committee were requested to declare whether they had an interest, either personal or prejudicial, in any item on the agenda and, if so, to declare it and state the nature of such interest.

Councillor A Jones declared a general personal interest by virtue of him drawing a pension from the former union, NUPE (Wales Division).

Councillor Stapleton declared a general personal interest by virtue of her drawing a pension from the former union, NUPE.

Councillor Rennie declared a personal interest in minute 3 (Minutes) and in particular the minute on the Occupational Health Contract by virtue of her appointment on the Merseyside Fire and Rescue and Authority.

3 MINUTES

The Committee was requested to receive the minutes of the meeting held on 23 March, 2011.

In connection with minute 65, 'Occupational Health Contract', the Head of HR and Organisational Development updated the Committee on the progress of the tendering process for the contract. She also commented that future options for a possible shared service would always be open through the Merseyside Improvement Efficiency Partnership.

Resolved – That the minutes of the meeting held on 23 March, 2011 be approved.

4 **APPOINTMENT OF VICE-CHAIR**

On a motion by Councillor Foulkes, seconded by Councillor Kenny, it was –

Resolved - That Councillor P Davies be appointed Vice-Chair of this Committee.

5 **MANAGING ATTENDANCE**

The Director of Law, HR and Asset Management submitted a report updating the Committee on the current attendance management position.

A breakdown of sickness absence figures for Quarter 4 and comparative data for 2006/7, 2007/8, 2008/9 and 2009/10, by quarter and by full year, was shown in appendix 1 to the report. Sickness levels for Quarter 4 (2.66 days) showed an improvement against both previous years (2.71 and 2.82).

BVPI data to allow comparison of performance with other Metropolitan Authorities was not currently available for 2010/11. This would be brought to a future committee as would the Chartered Institute of Personnel and Development's (CIPD) Annual Survey Report 2011.

The report also outlined progress on the implementation of the revised Attendance Management Policy and the Fit4Wirral action plan.

Responding to comments from Members the Chief Executive reported that a report and recommendations on a system of performance management appraisal and framework across the organisation would be brought to the Committee once the details had been worked through.

The Head of HR and OD, responding to comments from Members stated that she would bring a report to the Committee with more detailed analysis of the absence figures within the Department of Adult Social Services. An upgraded payroll system would also enable further detailed data to be provided on short and long-term absences; and she would report back on the data which could be provided. This would assist Members to suggest future lines of enquiry in relation to attendance management.

The Chair endorsed a Member's comment of the need to show that the Council, as a responsible employer, operated within a culture of being supportive, rather than one of being punitive, for those employees who were genuinely sick. The Head of HR and OD remarked that support and options for support were built into the revised Attendance Management Policy.

Resolved – That the content of the report and the current sickness absence data be noted.

6 **UPDATE ON MANAGING WORKFORCE CHANGE AND REDEPLOYMENT**

The Director of Law, HR and Asset Management, submitted a report providing an update on the management of workforce change and outlined progress on the successful redeployment of employees throughout the Council.

There were now 12 people on the redeployment register.

Resolved – That the report be noted.

7 APPEALS SUB-COMMITTEE

The Director of Law, HR and Asset Management requested the Committee appoint a pool of Members from which an Appeals Sub-Committee of 3 Members would be drawn.

Resolved – That this Committee recommends to Council:

(1) That a pool of 21 Members be appointed, in the ratio 9:9:3, from which an Appeals Sub-Committee of 3 Members will be drawn as and when required, with the Chair being appointed at each meeting, for the municipal year 2011/12 and until such time as a new Appeals Sub-Committee is appointed.

The membership of the pool be as follows:

Conservative (9 Members)

Councillors Lesley Rennie, Sheila Clarke, Chris Blakeley, David Elderton, John Hale, Eddie Boulton, Gerry Ellis, Andrew Hodson and Simon Mountney.

Labour (9 Members)

Councillors George Davies, Phil Davies, Adrian Jones, Brian Kenny, Anne McArdle, Bernie Mooney, Denise Roberts, Harry Smith and Jean Stapleton

Liberal Democrat (3 Members)

Councillors Ann Bridson, Dave Mitchell and Mark Johnston

(2) That the Appeals Sub-Committee will be proportionate (1:1:1) unless, after consultation with all 3 political groups that is not reasonably practicable (when the Sub-Committee may be non-proportionate).

(3) That all Members of the pool undertake appropriate training and, normally, complete that training before sitting on any Appeals Sub-Committee.

8 EMPLOYMENT AND APPOINTMENTS SUB-COMMITTEE MINUTES

The minutes of the Employment and Appointments Sub-Committee meetings held on 30 and 31 March, 2011 were submitted for information.

Resolved – That the minutes be noted.

9 INTERIM MANAGEMENT ARRANGEMENTS

The Chief Executive submitted a report which sought the Committee's approval to extend a number of interim management arrangements.

The Council had had interim management arrangements in place at a senior level to support the transition to a new Chief Executive. In addition, the interim arrangements

in the Department of Adult Social Services had supported the implementation of the Department's improvement plan. Extending the current interim management arrangements across the Council would allow more consideration to be given to what permanent arrangements were appropriate for the future delivery of council services and a report would be brought back to the Committee in September.

The Leader stated, with regard to the recruitment of a Director of Adult Social Services, that all the means available, including the use of specialist employment consultants, should be used to enable the best possible person to be recruited.

Councillor Green concurred that the recruitment process should be carried out in the best way to get the best person for the job. He also suggested that, as with the recruitment for the Chief Executive post, a Sub-Committee of 5 in the ratio 2:2:1 be appointed.

Resolved –

(1) That the extension of the interim arrangements for the current interim Heads of Service and Chief Officers until 30 September 2011 as set out in Appendix One to the report be approved.

(2) That the extension of the appointment of the Interim Director of Adult Social Services from 31 July 2011 to 31 December 2011, as set out in Appendix Two, be approved.

(3) That the recruitment of a permanent Director of Adult Social Services and the appointment of a proportionate sub-committee of five Members (2:2:1), be approved, with the Sub-Committee having delegated responsibility for the recruitment process and to appoint to the position.

(4) That the principle of employing recruitment consultants be approved. The decision about the scope of their use and expenditure being delegated to the Sub-Committee.

(5) That confirmation of the appointment to the post of Head of Performance and Planning in the Department of Adult Social Services of the individual listed in Appendix Two to the report, on a fixed term contract to expire on 31 December 2011, be approved.

10 EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC

Resolved - That, under section 100 (A) (4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information as defined by paragraph 1 of Part I of Schedule 12A (as amended) to that Act. The public interest test has been applied and favours exclusion.

11 EXEMPT APPENDIX - INTERIM MANAGEMENT ARRANGEMENTS

Further to minute 9 (ante), the Committee considered the appendices to the Chief Executive's report on interim Management arrangements.

Resolved – That the appendices be noted.

12 **VOLUNTARY SEVERANCE**

The Director of Finance submitted a report informing the Committee of the release of a member of his staff under the severance scheme. An appendix to the report circulated at the Committee, gave a breakdown of the financial implications.

Resolved –

(1) That the Committee notes the departure of the Finance Department staff member from 31 May 2011.

(2) That the Committee agrees the permanent deletion of the post of Head of Libraries and Halls from 1 June 2011.

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EMPLOYMENT AND APPOINTMENTS COMMITTEE

Thursday, 11 August 2011

| | | | |
|-----------------|-------------|--|-----------------------|
| <u>Present:</u> | Councillor | AER Jones (Chair) | |
| | Councillors | G Davies P Davies S Foulkes | P Kearney L Rennie |
| <u>Deputies</u> | Councillors | S Clarke (for J Green) P Gilchrist (for M Johnston) | |

13 MEMBERS' CODE OF CONDUCT - DECLARATIONS OF INTEREST

Members of the Committee were requested to declare whether they had an interest, either personal or prejudicial, in any item on the agenda and, if so, to declare it and state the nature of such interest.

No such declarations were made.

14 DEPARTMENT OF FINANCE - STAFFING OF IT SERVICES

The Director of Finance submitted a report on changes to the establishment of the IT Services Division following the release of employees through the Early Voluntary Retirement and Voluntary Severance (EVR/VS) scheme. Due to these staff leaving, some of which were at senior management level, it had been necessary to restructure IT Services (ITS) to continue to provide essential services. As part of this restructure it was proposed to create the post of IT Services Manager at grade EPO 14 (£67,400).

The deletion of two EPO9 posts as part of the EVS/VS exercise had saved £124,100. The introduction of an IT Services Manager post at EPO14 would cost £67,400 but the deletion of the successful candidate's post would save an additional £54,500 or £62,000 resulting in an overall saving in excess of £111,000.

The Director submitted appendices to the report which showed the previous structure of the division and the proposed structure.

Responding to comments from Members, the Head of HR and Organisational Development reported that an Equality Impact Assessment had not been carried out in respect of this restructure as it was not a wider change across the department and service delivery, whereas the restructure of the Children and Young People's Department was across the whole department with the impact on service delivery to be assessed.

The Director stated that the total savings made from the IT Services restructure was £500,000.

Resolved – That the creation of an IT Services Manager, grade EPO 14, within the Division be approved with the post being filled by ring-fencing applications to the remaining senior managers within IT Services. That the post be partly funded by deleting the post of the successful candidate, EPO9(£62,000) or EPO2(£54,500); the balance being realised by deleting posts further down the structure as part of the overall restructure of ITS.

15 **DEPARTMENT OF CHILDREN AND YOUNG PEOPLE - RESTRUCTURE**

The Interim Director of Children's Services submitted a report on proposed changes within his Department following the Early Voluntary Retirement and Voluntary Severance exercise (EVR/VS), and the proposed restructure of the Department. The changes also took account of the transfer of the Transport Service that was previously provided by the Department for Adult Social Services and the Technical Services Department. The Committee's approval was sought to re-grade/establish posts that were above spinal column point 49, including the restructure of the department from four to three branch service areas.

The current and proposed structures of each of these branches were submitted as appendices to the report.

The net savings following the EVR/VS exercise for all employees at spinal column point 49 and above were £499,019. The cost of regrading posts within the Department was £46,370. The cost of new posts within the Department was £85,488, making a total net saving at a senior level of £367,161.

In the absence of the Interim Director, the Chief Executive presented the report and along with the Head of HR and Organisational Development responded to comments from Members.

Resolved –

(1) That the re-structuring of the department from four Branch Service Areas to three Branch Service areas be approved.

(2) That the overarching Children's and Young People's Departmental restructure be approved as outlined at appendix two to the report.

(3) That the regrading / redesignation / establishment of posts above SCP 49, as set out in paragraphs 2.4.1, 2.4.2 and 2.4.3 of the report, be approved.

(4) That this Committee notes the transfer of the various transport related services across the Council, including Technical Services and the Department for Adult Social Services, and approves the new Integrated Transport Unit structure within the Children's and Young People's Department.

16 **EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC**

Resolved - That, under section 100 (A) (4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following item of business on the grounds that it involves the likely disclosure of exempt

information as defined by paragraph 3 of Part I of Schedule 12A (as amended) to that Act. The public interest test has been applied and favours exclusion.

17 ANY OTHER URGENT BUSINESS - OCCUPATIONAL HEALTH CONTRACT

The Chair agreed to consideration of this item as a matter of urgent business in view of the need for a decision prior to the next meeting of the Committee.

The Director of Law, HR and Asset Management submitted a report which updated the Committee on the progress of the future service provision for the Occupational Health Contract.

The Head of HR and Organisational Development outlined the situation in respect of the tendering process and reported upon advice received from the Health and Safety Executive, in the light of which, a re-tendering process would be undertaken.

Resolved – That Committee approves a further extension of the current Occupational Health contract with Aviva Healthcare until 31 March, 2012 and a re-tendering process be undertaken.

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WIRRAL COUNCIL

COUNCIL EXCELLENCE OVERVIEW AND SCRUTINY COMMITTEE

29 SEPTEMBER 2011

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|--------------------------------------|---|
| SUBJECT: | THE PEOPLE STRATEGY 2010-2013: 2011-2012 IMPLEMENTATION PLAN |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | DIRECTOR OF HR, LAW AND ASSET MANAGEMENT |
| RESPONSIBLE PORTFOLIO HOLDER: | COUNCILLOR ADRIAN JONES |
| KEY DECISION? | NO |

1. EXECUTIVE SUMMARY

- 1.1 This report provides an update on The People Strategy achievements for 2010-2011 (Appendix One), and presents the draft, refreshed People Strategy Implementation Plan for 2011-12 (Appendix Two).

2. BACKGROUND

- 2.1 The People Strategy 2010-2013, and the People Strategy Implementation Plan 2010-2011 were agreed by Cabinet on 18 March 2010 and by Employment and Appointments Committee on 17 June 2010.
- 2.2 An update on The People Strategy achievements for 2010-2011 were presented to Council Excellence, Overview and Scrutiny Committee on 12 July 2011.
- 2.3 The aim of The People Strategy is to ensure that Wirral Council has an effective and productive workforce to meet its current and future objectives. The principles of The People Strategy are that people who are well led, healthy, motivated and developed, are more likely to deliver effectively.

3. KEY ISSUES

3.1 People Strategy Themes

The Council's strategic people issues have been addressed through focusing our attention and prioritising action within 5 key themes:

- 1. Developing and delivering leadership*
- 2. Developing our organisation, communication and culture*
- 3. Developing skills, capability and capacity to deliver performance*

4. *Delivering performance through an effective management framework and efficient processes*
5. *Delivering our role as a good employer*

The People Strategy themes have been reviewed as part of the 2011-2012 Implementation Plan as follows:

1. *Developing and delivering leadership and skills across the organisation*
2. *Developing our organisation, to respond to and deliver change*
3. *Developing capability and capacity to deliver performance improvement*
4. *Delivering performance through an effective People Management Framework and efficient processes*
5. *Delivering our role as a good employer*

3.2 People Strategy Implementation Plan 2010-2011

- 3.2.1 The People Strategy is being delivered through the implementation plan 2010-2011. The achievements for 2010-2011 are detailed at Appendix One.

3.3 People Strategy Implementation Plan 2011-2012

- 3.3.1 The Council's Corporate Plan 2011-2014, agreed by Cabinet on 17 March 2011, identified four key themes. Under the fourth theme: "Your Council", the implementation and delivery of the People Strategy is identified as a key objective in ensuring a well led, skilled, committed and flexible workforce.
- 3.3.2 The People Strategy implementation plan for 2011-2012 is attached at Appendix Two. The delivery of the 2011-2012 implementation plan will be delivered through specific work plans, Departmental Plans, the Workforce Development Plan, and other Strategies.

4. Financial Implications

- 4.1 The People Strategy is delivered within existing resources.

5. Staffing implications

- 5.1 There are no staffing implications

6. Equal opportunities implications

- 6.1 The specific activities within the People Strategy are included in the ongoing programme of equality impact assessment

7. Community safety implications

- 7.1 There are no community safety implications.

8. Local Agenda 21 implications

8.1 There are no Local Agenda 21 implications.

9. Planning implications

9.1 There are no planning implications.

10. Anti-poverty implications

10.1 There are no anti-poverty implications.

11. Social inclusion implications

11.1 The People Strategy implementation plan identify how projects and activities are directly or indirectly tackling inequalities in Wirral, and outcomes will be monitored.

12. Local Member Support implications

12.1 There are no local Member support implications

13. Background Papers

13.1 There are no background papers for this report

14. Recommendations

The Overview and Scrutiny Committee is recommended to:

- i. Note The People Strategy achievements for 2010-2011.
- ii. Approve The People Strategy Implementation Plan for 2011-12.

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APPENDICES:

Appendix One: The People Strategy Achievements 2010-2011

Appendix Two: The People Strategy Implementation Plan 2011-2012

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|--|-------------------------|
| Council Excellence, Overview and Scrutiny Committee | 12 July 2011 |
| Employment and Appointments Committee | 23 November 2010 |
| Employment and Appointments Committee | 17 June 2010 |
| Cabinet | 18 March 2010 |

People Strategy Achievements 2010-2011

People Strategy Themes

Theme 1: Developing and delivering leadership

- i) New Communications Strategy which includes:
 - i. One Brief: communication document which is cascaded throughout the organisation and provide an opportunity for employees to give feedback to The Chief Executive, The Executive Team and Senior Managers.
 - ii. One Council
 - iii. New Senior Manager briefings led by the Chief Executive.
- ii) Proposed Corporate and Leadership behaviours with a proposal for a new performance appraisal process which will include Corporate Values and Behaviours and leadership expectations.
- iii) Updated Leadership Development Programme which includes:
 - i. MBA in Leadership
 - ii. Institute of Leadership and Management (ILM) qualifications
 - iii. New Skills for Wirral Managers: a suite of learning and development courses accessible to all managers.

Theme 2: Developing our organisation, communication and culture

- i) New Coaching Programme which is part of an award-winning Coaching Academy programme across Merseyside.
- ii) New Mentoring Programme which is part of the Merseyside Mentoring Scheme.
- iii) New Change Management Training which is targeted to meet the different needs of managers and employees. 366 attendees in 2010-2011.

Theme 3: Developing skills, capability and capacity to deliver performance

- i) New training programmes to respond to the needs of the Strategic Change Programme, including project management and change management.
- ii) Development of a shared virtual space for on-line training: E-nable. On-line courses include Attendance Management, Data protection, Introduction for Local Government and Stress-Buster.
- iii) Development and implementation of a Multi-agency Safeguarding Training Plan.

- iv) One learning and development programme across the Council which has led to a more efficient and effective service.

Theme 4: Delivering performance through an effective management framework and efficient processes

- i) A number of key policies have been updated and agreed including:
 - i. Redeployment and Redundancy (11 November 2010)
 - ii. Restructuring Policy (11 November 2010)
 - iii. Fixed Term Contract (11 November 2010)
 - iv. Transitional Pay Policy (11 November 2010)
 - v. Changes to the Policy on Discretionary Severance Payments (11 November 2010)
 - vi. Safer Recruitment and Employment Policy (23 November 2010)
 - vii. Attendance Management (23 March 2011)
 - viii. Agile Working Policy (27 January 2011)
- ii) Roll out of Selfserve system as part of the Transforming Business Support project introduced to streamline administrative processes across the Council.

Theme 5: Delivering our role as a good employer

- i) New health and well-being strategy including:
 - i. Fit for Wirral framework
 - ii. Workplace Well Being Charter
 - iii. Ongoing health and well being events
- ii) Completed Early Voluntary Retirement/Voluntary Severance exercise with a comprehensive support programme, including a helpdesk, a skills programme, significant redeployment, and change management training and support.
- iii) Improved Apprenticeship Programme, including an increase in the number of Apprentices from 12 to 74 in 2010-2011. The Council received a North West special recognition award to recognise its significant contribution to developing and growing Apprenticeships in the region.
- iv) Established Graduate Programme, developed to provide additional resource in key priority areas across the Council.
- v) Programme of work placement opportunities across the Council.

People Strategy Implementation Plan 2011-2012

1. Developing and delivering leadership and skills across the organisation

| Objective | Activities in place | New activities 2011-12 | Timescales | Delivered by |
|--|---|--|-------------------------------------|--|
| Improve the take-up of learning and development and continue to develop learning to meet the needs of the organisation | <ul style="list-style-type: none"> ○ Skills for Wirral Managers programme ○ Skills for Wirral Employees programme ○ MBA in Leadership ○ Institute of Leadership and Management (ILM) qualifications ○ Coaching Programme ○ Mentoring Programme ○ On-line training activities | <ul style="list-style-type: none"> ○ 25% of Managers to attend “Skills for Wirral’s Managers” programme ○ 30% of Employees to attend “Skills for Wirral Employees” programme ○ Development of job role specific training linked to priorities areas ○ Design and deliver ILM level 5 certificate | <p>March 2012</p> <p>March 2012</p> | Head of Human Resources/ Organisational Development with Executive Team |
| | | | | |

2. Developing our organisation, to respond to and deliver change

| Objective | Activities in place | New activities 2011-12 | Timescales | Delivered by |
|--|--|---|--|--|
| Improved communications | <ul style="list-style-type: none"> ○ One Brief ○ One Council ○ Senior Management briefings ○ One to one meetings ○ Team meetings ○ Messages from the CEX | <ul style="list-style-type: none"> ○ Embedding of one to one meetings with Managers and employees ○ Ensuring consistent one to one meetings in line with Performance Management Framework ○ Delivery of CEX communication plan | <p>March 2012</p> <p>October 2011 March 2012</p> <p>Ongoing</p> | Head of Human Resources/ Organisational Development with Executive Team/ Head of Corporate Planning, Engagement and Communication |
| Continued development of a framework to consult and engage employees | <ul style="list-style-type: none"> ○ Framework developed ○ Corporate JCC 3 weekly ○ Departmental JCC Quarterly | <ul style="list-style-type: none"> ○ Review of additional consultation methods | December 2011 | Head of Corporate Planning, Engagement and Communication/Head of Human Resources/ Organisational Development |
| Remodelling the organisation to respond to organisational change | <ul style="list-style-type: none"> ○ Managing Change policies ○ Change Management workshops ○ Services reviewed to ensure they are delivered in a more cost effective way ○ Effective redeployment of employees in line with Wirral's Redeployment policy ○ Restructure time/action plan ○ Delegated authority report approval process | <ul style="list-style-type: none"> ○ Completion re-modelling to support organisational change ○ Facilitation of 12 Change Management workshops ○ Redeployment of 148 employees ○ Individual development plans for all employees redeployed ○ Individual development plan put in place for all new Managers | <p>September 2011</p> <p>October 2011</p> <p>July 2011</p> <p>July 2011 – December 2011</p> <p>July 2011 – December 2011</p> | Head of Human Resources/ Organisational Development with Executive Team |
| Future workforce change plan | | <ul style="list-style-type: none"> ○ Future requirements and | January – | Head of Human |

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| to be put in place | | <ul style="list-style-type: none"> ○ actions to be assessed ○ Workforce change plan to be developed | March 2012 | Resources/ Organisational Development with Executive Team |
| People are deployed effectively, and employee pay costs reflect the working arrangements within budget | <ul style="list-style-type: none"> ○ Managing Change policies ○ Effective redeployment of employees in line with Wirral's Redeployment policy | <ul style="list-style-type: none"> ○ Management of Redeployment and Recruitment to ensure cost effectiveness ○ Review of the use of Agency workers (in line with Agency Regulations) ○ Review of all short term staffing arrangements to reduce cost for the council, including agencies, ready to work | <p>March 2012</p> <p>October 2011</p> <p>March 2011</p> | Head of Human Resources/ Organisational Development |
| Delivery of the Transforming Business Support project | <ul style="list-style-type: none"> ○ Core system in place ○ All employees have access to self serve | <ul style="list-style-type: none"> ○ Rollout of self service to departments in conjunction with remodelling exercise ○ Establishment update following leavers and re-modelling exercise ○ Training and support for all employees / Managers for SelfServe ○ Design and delivery of modules: <ul style="list-style-type: none"> - Expenses - Absence - Reporting ○ Long term plan to be developed | <p>September 2011</p> <p>August 2011</p> <p>July 2011 – March 2012</p> <p>January 2012 – May 2012</p> <p>November 2011 / January 2012</p> | Head of Human Resources/ Organisational Development with Executive Team |
| Review Employee Pay Costs | | <ul style="list-style-type: none"> ○ Analysis of costs ○ Development of options and issues | <p>October 2011</p> <p>November</p> | |

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3. Developing capability and capacity to deliver performance improvement

| Objective | Activities in place | New activities 2011-12 | Timescales | Delivered by |
|---|---|--|--|--|
| Implement and embed a performance management framework for leadership | <ul style="list-style-type: none"> ○ Key Issues Exchange across the organisation | <ul style="list-style-type: none"> ○ Formal agreement at Employment and Appointments Committee of: <ul style="list-style-type: none"> - Performance management framework - Leadership Expectations - Corporate values and behaviours - Performance Appraisal Framework ○ Communication of corporate values and behaviours ○ Rollout of Performance appraisal to <ul style="list-style-type: none"> - Chief Executive - Executive Team - Senior Managers - Total of 200 people ○ Training for 200 Managers to support the Performance Management framework ○ Review of Performance Appraisal Framework | <p>September 2011</p> <p>October 2011</p> <p>October 2011 Dec 2011 March 2012</p> <p>October 2011 – March 2012</p> <p>March 2012</p> | Head of Human Resources/ Organisational Development with Executive Team |

4. Delivering performance through an effective People Management Framework and efficient processes

| Objective | Activities in place | New activities 2011-12 | Timescales | Delivered by |
|--|---|---|--|--|
| To review and seek approval for the People Management Framework policies | <ul style="list-style-type: none"> ○ Action plan linked to policy development ○ Managing Change policies ○ Attendance Management policy and procedure ○ E-learning – training and development | <ul style="list-style-type: none"> ○ Review of existing policies in line with employment legislation and best practise <ul style="list-style-type: none"> - Whistle blowing Policy - Grievance Policy - Discipline Policy - Dignity at Work Policy - Flexible Working - Long Service Awards ○ Training for employees / Managers to support the policies ○ Review of the HR Handbook | Sept 2011 Dec 2011 Dec 2011 Dec 2011 Feb 2012 Feb 2012 January 2011 and December 2011 | Head of Human Resources/ Organisational Development |
| Delivery of one Casework system for HR cases | | <ul style="list-style-type: none"> ○ Implementation of Casework system to meet requirements ○ Training for HR employees on the system to ensure consistent application | October 2011 | Head of Human Resources/ Organisational Development |
| Delivery and management of enhanced Attendance Management policy and procedure | <ul style="list-style-type: none"> ○ Attendance Management policy and procedure ○ E-learning – training and development | <ul style="list-style-type: none"> ○ Training for Managers on the policy to ensure consistent application ○ Managers training (Skills for Wirral's Managers) ○ E-Learning module – 100% uptake ○ Enhanced MI to be available for Managers ○ Procurement of a new | December 2011 March 2012 March 2012 | Head of Human Resources/ Organisational Development and Executive Team |

| | | | | |
|--|---|---|---|--|
| <p>Implementation of Phase 2 and 3 of Job Evaluation</p> | <ul style="list-style-type: none"> ○ Delivery of Schools job evaluation ○ Delivery of job evaluation above SCP 34 | <p>OH provider</p> <ul style="list-style-type: none"> ○ Delivery of Schools job evaluation ○ Delivery of job evaluation above SCP 34 | <p>1 December 2011 March 2012</p> | <p>Head of Human Resources/ Organisational Development</p> |
| <p>Effected HR processes / services</p> | <ul style="list-style-type: none"> ○ Improved management Information ○ Transforming Business Support project ○ Criminal Records Bureau (CRB) action plan to ensure consistent CRB checks for appropriate employees | <ul style="list-style-type: none"> ○ Update of HR handbook and guidance ○ Enhanced MI for CRB action plan and delivery ○ Consideration of electronic CRB renewal process ○ Review of HR processes to support SelfServe ○ Review of employee files / data | <p>March 2011 December 2011 March 2012 December 2011-09-21 March 2011</p> | <p>Head of Human Resources/ Organisational Development</p> |

5. Delivering our role as a good employer

| Objective | Activities in place | New activities 2011-12 | Timescales | Delivered by |
|---|---|--|--------------------------------|---|
| Achievement of Excellent Status for the Equality Framework for Local Government | <ul style="list-style-type: none"> ○ Achievement of Good Status for the Equality Framework ○ Equality action plan | <ul style="list-style-type: none"> ○ Delivery of requirements under the Equality Duty ○ Delivery of new Equality action plan (to be developed) ○ Review of Employee Data and auditing of data | September 2011 – December 2011 | Head of Human Resources/ Organisational Development and Corporate Equality and Diversity Officer |
| Further develop the Fit for Wirral Framework | <ul style="list-style-type: none"> ○ New health and well-being strategy including: ○ Fit for Wirral framework ○ Workplace Well Being Charter ○ Ongoing health and well being events | <ul style="list-style-type: none"> ○ Delivery of Health and Well-Being activities ○ Targeted activities for key health risk issues | Quarterly | Head of Human Resources/ Organisational Development/Head of Corporate Planning, Engagement and Communication/Director of Public Health |
| Development of Apprenticeship and Graduate Programmes | <ul style="list-style-type: none"> ○ 100 Apprentices employed ○ 4 Management Graduate Trainees employed | <ul style="list-style-type: none"> ○ Recruitment to the programmes: ○ 5 Graduates ○ Ongoing/further promotion of apprenticeship framework to current employees. ○ Options for traineeships/placements for looked after children. | July – December 2011 | Head of Human Resources/ Organisational Development |

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WIRRAL COUNCIL

EMPLOYMENT AND APPOINTMENTS COMMITTEE

29 SEPTEMBER 2011

| | |
|--------------------------------------|---|
| SUBJECT: | WHISTLEBLOWING POLICY |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | DIRECTOR OF LAW, HR AND ASSET MANAGEMENT |
| RESPONSIBLE PORTFOLIO HOLDER: | CLLR ADRIAN JONES |
| KEY DECISION? | YES |

1.0 EXECUTIVE SUMMARY

- 1.1 This report sets out the details of the proposed revised Whistleblowing Policy and procedure.

2.0 RECOMMENDATION/S

- 2.1 That the Employment and Appointments Committee considers and agrees the revised Whistleblowing Policy and Procedure.
- 2.2 That the Employment and Appointments Committee recommend that the Council should take out a 'bespoke' subscription to Public Concern at Work, a national charity set up to provide support for individuals and organisations, around Whistleblowing issues.

3.0 REASON/S FOR RECOMMENDATION/S

- 3.1 On 14 April 2011, Cabinet accepted a report from an independent investigation undertaken by Martin Smith into allegations of bullying and abuse of raised by Martin Morton, a former employee in Adults Social Services. The Cabinet resolved to;
- Resolution 3a) - instructs the Chief Executive Designate to ensure that the Council's policies in relation to Harassment Bullying and Victimisation (HBV); Grievances; and Whistleblowing are all reviewed as a matter of urgency: with a view to incorporating those changes and improvements recommended by Mr Smith (and all other provisions that officers consider appropriate), to ensure that the policies are up to date and fit for purpose;
 - Resolution 3 (b) - following completion of (a) above, a timely and comprehensive programme of training for all Council managers be put in place to ensure that the revised policies are understood and applied throughout the Authority;
 - Resolution 3 (d) - the Chief Executive takes all necessary action to ensure that Resolution 3(a) (relating to the Council's corporate governance

arrangements for dealing with employees' complaints) is implemented as soon as practicable;

- 3.3 This report addressed specifically the Council's Whistle blowing policy and procedure. Further reports will follow to the Employment and Appointments Committee in relation to Harassment Bulling and Victimisation, Grievances, a Council case work system, with details of the training packages to support the effective implementation.
- 3.4 It is critical for the Council to have a clear, robust and transparent policy and procedure for dealing with Whistleblowing disclosures.
- 3.5 This revised policy and procedure is designed to strengthen current arrangements and ensure that any concern about the Council's business matters could adversely affects service users, employees, and/or the public can be raised and fully investigated without employees fearing the consequences of doing so.
- 3.6 Adoption of this policy and subscription to an external, independent organisation to allow employees to seek advice and guidance on issues of concern will enable the Council to demonstrate its full commitment to the highest standards and integrity of public service.

4.0 BACKGROUND

- 4.1 The current Whistleblowing Policy was agreed by The Employment and Appointments Committee on 24 September 2008.
- 4.2 In April 2011 Cabinet accepted a report from an independent investigation undertaken by Martin Smith into allegations of bullying and abuse of power raised by Martin Morton, a former employee in Adults Social Services.
- 4.3 In addition to the findings of the report, Mr Smith made a number of recommendations about the management of Whistleblowing disclosures which he considered would strengthen the Council's corporate governance.

KEY ISSUES

The key recommendations arising from Mr Smith's reports were;

Recommendation 1

Suggested definition of what concerns fall under 'whistleblowing' and what the scope of the policy should be

Recommendation 2

The Council's existing approach places the emphasis on the individual employee to decide for themselves how and where they will report their whistleblowing concerns. Employees have a multiple of choices and, while they are encouraged to approach their line manager in the first instance, it is

recognised that this may not be appropriate due to the nature of the complaint. There does not appear to be any single or corporate dimension to coordinating these arrangements.

There is a corporate role to be played by the Council's Monitoring Officer who should be given overall responsibility for the successful operation of the Whistleblowing Policy by acting as the focal point for all whistleblowing concerns.

This role would include:

(i) Acting as the Nominated Officer to receive all whistleblowing complaints and determining, with the other officers mentioned in the policy, as appropriate, the arrangements to be made for addressing or investigating each complaint;

(ii) Coordination and overall supervision of each whistleblowing complaint and investigation;

(iii) Preparing a performance management report on a regular basis, at least annually, to the appropriate Lead Member/Committee of the Council, including the appropriate Overview and Scrutiny Committee, with a variety of casework management data including the number/type of cases dealt with and the outcome achieved;

Recommendation 3

In support of the Monitoring Officers role, there should be an officer in a corporate HR role who would provide a "filter mechanism" for all staff complaints, i.e. whistleblowing; grievance; and harassment/bullying.

This role would include:

i) Receiving and examining all staff complaints which are proposed to be submitted to the Council's Appeals Sub- Committee in order to determine the suitability of the case to be dealt with in accordance with either the Grievance procedure or the HBV policy;

(ii) Liaising with Departmental colleagues, as appropriate, in making the appropriate decision and subsequent arrangements for the case to proceed;

(iii) Acting on behalf of the Monitoring Officer, as required, in the discharge of her/his responsibilities for Whistleblowing cases, including liaison with colleagues, as appropriate, in determining the arrangements to be made for addressing or investigating each complaint;

(iv) Maintaining a Casework Management Register for all staff complaints received under all procedures, which facilitates the coordination and overall supervision of each grievance, HBV and whistleblowing complaint and investigation;

(v) Overseeing the quality control of all cases in the Casework Management Register in order to facilitate the performance management reporting system;

If the changes above are accepted and the Council's Monitoring Officer is given overall responsibility for the successful operation of the Whistleblowing Policy, the current reporting arrangements may also need to change and the opportunity could be taken to make them more user friendly and, by doing so, perhaps encourage employees who have whistleblowing concerns to report them. In these circumstances, consideration could be given to providing a variety of reporting methods including

- (i) an online facility via the Council's intranet;
- (ii) a dedicated confidential contact telephone number/helpline;
- (iii) a dedicated e-mail address; and (iv) a confidential internal postal address.

- 4.4 In addition to the recommendations in Mr Smith's report, a review of other Local Authority, NHS and other public sector policies has been undertaken to ensure that best practice has been adopted within the policy.
- 4.5 As a further step, the policy has also been reviewed by Public Concern at Work have reviewed the draft policy and offered advice and suggestions to ensure it meets best practice.
- 4.6 The feedback from Public Concern at Work is that the Council draft, revised policy meets with best practice in a range of areas and *'has helped to focus on the key messages to staff that it is safe and acceptable to speak up at any time about a potentially serious risk or concern in the workplace and to offer alternatives to silence if staff are not sure who to speak with either because of the nature of the concern, or because they are worried about their own position. The Policy offers confidentiality, and assurances on reprisals. It states who staff can go to outside line management and externally where necessary, and access to independent advice'*.
- 4.7 Public Concern at Work also advised that normally best practice would be for line managers have greater empowerment to deal with a concern without automatically referring the matter to senior management as has been proposed within this policy and procedure.
- 4.8 However, the Council's requirement for a more robust arrangement for quality assuring the response to concerns raised and minimising the risk to the organisation at this time has been discussed. This issue will be considered when the policy is reviewed.
- 4.9 Appendix A details the key changes to the policy.

External Validation and Support

- 4.10 To enhance the level of support available to employees and the organisation, it is recommended that the Council works with Public Concern at Work.

4.11 Public Concern at Work is a national Whistleblowing charity established in 1993, which has four activities;

- free, confidential advice to people concerned about crime, danger or wrongdoing at work;
- help organisations to deliver and demonstrate good governance;
- inform public policy; and
- promote individual responsibility, organisational accountability and the public interest

4.12 This will give benefits of:

- External validation of the Whistleblowing Policy and Procedure and support to the Council in communication and training around raising concerns at work and Whistleblowing
- Additional, independent external support for any employees who have concerns and may need advice about how to take them forward
- Will serve as a visible demonstration of Council's commitment to the highest standards and integrity of public service.

4.13 A wide range of organisations including, Local Authorities and the NHS, subscribe to Public Concern at Work

4.14 The recommendation for Committee is that the Council subscribes to the bespoke package offered by Public Concern at Work. This is the most comprehensive package available. The details are attached at Appendix C

4.15 Public Concern at Work has reviewed the draft policy and their suggestions have been incorporated. This work has been undertaken ahead of any agreed subscription and will be offset against the consultancy hours within the packages.

5.0 RELEVANT RISKS

5.1 There are significant risks for the Council if the policy, procedure and arrangements in place do not promote an environment where employee feels able to raise a concern about potential malpractice or wrong-doing or if the procedures in place mean that such concerns are not deal with appropriately and comprehensively.

5.2 There is a potential risk if employees are reluctant to raise concerns as, the policy states that concerns will automatically be referred to senior management level. This is mitigated by the clear commitment to protect such employees from any reprisal or disadvantage and the provision of an external helpline for advice and support.

6.0 OTHER OPTIONS CONSIDERED

6.1 Not applicable for this report.

7.0 CONSULTATION

7.1 There has been consultation with the Trade Unions on the policies.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1 No issues arising.

9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

9.1 Subscription to Public Concern at Work (enhanced package) would be £10,000 per annum. There is no minimum subscription period so this can be reviewed.

10.0 LEGAL IMPLICATIONS

10.1 There are no legal implications.

11.0 EQUALITIES IMPLICATIONS

11.1 There are no legal implications.

12.0 CARBON REDUCTION IMPLICATIONS

12.1 There are no carbon reduction implications.

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 There are no planning or community safety implications.

REPORT AUTHOR: **Tony Williams**
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APPENDICES

- A Summary of the key changes to the Whistleblowing policy.
- B Whistleblowing Policy and appendices
- C: Public Concern at Work Subscription details

REFERENCE MATERIAL

No reference material included.

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|--|-------------------|
| Employment and Appointments Committee | 24 September 2008 |
| Cabinet | 14 April 2011 |

Summary of the Key Changes required to current arrangements for dealing with Whistleblowing concerns

The key changes reflecting recommendation from Martin Smith report, advice from Public Concern at Work and good practice from other Local Authority Policy and Procedures.

| | Key Change Required | Addressed with Policy and Procedure |
|----|---|--|
| 1 | Definition of what concerns raised under Whistleblowing may include | Addressed in Policy Section 2.3 |
| 2 | One point of co-ordination with key reporting requirement, prescribed timescales for referral to Monitoring Officer. | Addressed at Policy Section 8 and 9 |
| 3 | Further guidance for managers in ensuring distinction between Whistleblowing and other procedures, particularly the grievance procedure. | Addressed at Policy Section 3 |
| 4 | Consistent co-ordination and supervision of investigations | Addressed at Policy Section 13 |
| 5 | Maintenance of a corporate casework register | Addressed at Policy Section 13.3 |
| 6 | Performance Management reporting to Committee with numbers and nature of Whistleblowing complaints with outcomes. | Addressed at Policy Section 13.5 |
| 7 | Accessibility and usability of the Whistleblowing Policy. Revised form and dedicated e-mail address and helpline/ freephone advice | Addressed throughout the Policy with specific reference to Policy Section 8.19 |
| 8 | The use of an external body to provide independent support and advice for employees and the organisation | Addressed at Policy Section 11 |
| 9 | A change in terminology and emphasis. This is designed to reflect the change in culture required in the Organisation. Employees who raise Whistleblowing concerns are regarded as 'witnesses' rather than 'complainants'. Issues raised are called "concerns", rather than "complaints" | Addressed at Policy Section 1.5 Throughout the policy. |
| 10 | Clarification of the process if person raising a concern is dissatisfied with response. | Addressed at Policy Section 8.4 |

Public Concern at Work Subscription details

| Wirral Council Bespoke package | Cost |
|--|--|
| <p>This is designed for large/complex organisations and those who work in high risk areas or require further support. The package has the following key features:</p> <ul style="list-style-type: none"> • helpline subscription • freephone number • bespoke email facility • 7 hours' consultancy • annual review of the organisation's whistleblowing arrangements for Audit Committee or Board and in line with the Combined Code of Corporate Governance. This includes a helpline report. • periodic helpline briefings • compliance toolkit (including model policy, Best Practice Guide for Subscribers and a whistleblowing presentation); and licence to reproduce PCaW intellectual property in print and on intranet. | <p>£7,500 plus 25 pence per employee per annum.</p> <p>There is no minimum time commitment with this package</p> <p>Total Cost (per annum) £10,000</p> |

Wirral Council Whistleblowing Policy

| | | Page |
|----|--|------|
| 1 | Policy Statement | 2 |
| 2 | Scope of this Whistleblowing Policy | 3 |
| 3 | Grievances | 4 |
| 4 | Commitment to Employees | 5 |
| 5 | Confidentiality | 6 |
| 6 | Anonymous Allegations | 6 |
| 7 | Untrue or Unfounded Allegations | 7 |
| 8 | How to raise a Concern | 7 |
| 9 | How will the Council respond? | 8 |
| 10 | What employees need to know when raising a concern | 9 |
| 11 | External Disclosures and Independent Advice | 10 |
| 12 | Additional Support for Employees | 10 |
| 13 | Roles and Responsibilities | 11 |

Appendices

| |
|---|
| Appendix 1 – Internal Contacts |
| Appendix 2 – External Contacts |
| Appendix 3 – Confidential Reporting Form |
| Appendix 4 – Procedural Flowchart |
| Appendix 5 – Template Letter - Acknowledgment |
| Appendix 6 – Template Letter – How matter will progress |
| Appendix 7 – Template Letter - outcome |

1. Policy Statement

- 1.1 Wirral Council is committed to the highest possible standards of openness, professionalism and accountability. In line with that commitment the Council wants its employees, and others that it deals with, who have concerns about any aspect of how the Council operates or the work it does, to feel confident in coming forward and voicing those concerns.
- 1.2 The purpose of this Whistleblowing Policy is to make it clear to all employees that it is safe and acceptable to raise any concerns they may have at an early stage over any perceived wrong-doing by the Council, its employees or those with whom it has dealings without fear of victimisation, reprisal, discrimination or disadvantage.
- 1.3 The Council recognises that its employees may from time to time be concerned about an issue at work. Usually such issues can and are easily resolved. The Council does however also recognise that employees may be the first to realise serious wrong-doing within the Council and may be reluctant to speak up because of loyalty to colleagues or to the Council itself. It can be difficult to know what to do. Employees may also fear bullying, harassment or victimisation if they did raise their concerns and may therefore choose not to do so.
- 1.4 Any employee who raises concerns over possible wrong-doing by the Council, its employees or those with whom the Council has dealings ("a whistleblower") is also afforded protection under the Public Interest Disclosure Act 1998. This Act gives protection to a whistleblower who raises concerns about serious fraud or malpractice at their place of work against victimisation or dismissal, provided they have acted in a responsible way in dealing with their concerns.
- 1.5 This Whistleblowing Policy is intended to encourage and enable employees to raise concerns over any perceived wrong-doing by the Council, its employees or those with whom it has dealings with confidence knowing that their concerns will be dealt with appropriately and in confidence. A whistleblower is therefore considered a witness not a complainant.
- 1.6 This Whistleblowing Policy can be used and relied upon by all employees and contractors working for the Council on its premises (for example, volunteers, agency workers), and those contractors providing services using their own premises to the Council under a contract for services (for example care homes).
- 1.7 If employees wish to make a complaint about their employment or the way they have been treated at work, they should raise their complaint using the Council's Grievance or Bullying/Harassment Policy (please see paragraph 3 below for further guidance).

1.8 This Whistleblowing Policy is in addition to the Council's complaints policy and procedures. The holding of any data in connection with this Whistleblowing Policy will be consistent with the provisions of the Data Protection Act 1998.

2. Scope of this Whistleblowing Policy

2.1 This Whistleblowing Policy aims to:

- encourage employees to feel confident in raising concerns and to question and act upon concerns over perceived wrong-doing by the Council, its employees or others with whom the Council has dealings;
- provide guidelines for employees to raise concerns and receive feedback on any action taken;
- ensure that employees receive a response to their concerns and that they are aware of how to pursue them if they are not satisfied;
- reassure employees that if they raise a concern in good faith reasonably believing that the information, and any allegations contained in it, are substantially true, they will be protected against any possible reprisals, harassment or victimisation; and will not be discriminated against or suffer any disadvantage.

2.2 This Whistleblowing Policy is intended to cover those concerns that fall outside the scope of other Council policies and procedures. However, if anyone is in doubt as to whether this Whistleblowing Policy applies, they should seek advice from the Council's Human Resources Section or the Director of Law, HR and Asset Management (or his authorised representative), their trade union, or any relevant external advisor (such as those listed in Appendix 1 and 2 to this Whistleblowing Policy).

2.3 To assist employees to decide which is the right policy to use, they should consider,

- 1) If they have witnessed or are aware of something of concern and want to raise it, if so they should do so under the Whistleblowing policy, or
- 2) If they have a complaint about something happening to them and want a particular response or outcome to address that complaint, they should raise this under the grievance or bullying and harassment policy.

2.4 While it is not possible to provide a complete list of all the issues which might be properly raised under this Whistleblowing Policy, any concern

about improper, unethical, illegal or negligent practice(s) in the workplace, including the conduct of officers or members of the Council or others acting on behalf of the Council, can be raised. A concern about perceived wrong-doing could include:

- a criminal offence (e.g. fraud, corruption or theft) has been/is likely to be committed;
- financial impropriety, maladministration or the unauthorised use of public funds;
- a miscarriage of justice has been/is likely to occur;
- the health or safety of any individual has been/is likely to be endangered;
- the environment has been/is likely to be damaged;
- the Council's Constitution (including Standing Orders, Financial Regulations etc) have or are not being observed or are being breached by member and/or officers;
- sexual or physical or verbal abuse of any employee or service recipient is taking place;
- discrimination is occurring to any employee or service recipient on grounds of sex, race or disability;
- any other form of improper action or conduct is taking place;
- information relating to any of the above is being deliberately concealed or attempts are being made to conceal the same.

2.5 This Whistleblowing Policy is intended to assist employees raise concerns they may have over any perceived wrong-doing by the Council, its employees or those with whom it has dealings so that they can be examined and/or investigated. It is not intended to be used as a mechanism to question or challenge financial or management decisions taken by the Council where there is no suggestion or allegation of wrong-doing.

3. Grievances

3.1 Where employees have concerns about their employment position or treatment the Council's Grievance or Bullying/Harassment Policy should be followed.

3.2 The Council's Grievance Policy should be used relation to matters concerning:

- Terms and conditions of employment (excluding grading);
 - Working conditions or health and safety matters;
 - New Working Conditions or organisational changes; and/or
 - Disagreements or breakdown in relationship with colleagues or managers.
- 3.3 Where an employee raises a concern(s) under both this Whistleblowing Policy and a grievance under the Council's Grievance Policy, the Council will ensure that a clear distinction is maintained between both matters and ensure that they are effectively progressed and determined.
- 3.4 Any proposed resolution of a grievance will not undermine or otherwise prevent any investigation being carried out in relation to any concern(s) raised under this Whistleblowing Policy. Similarly, dealing with a concern raised under whistleblowing should not be linked to resolution of a grievance.
- 3.5 Where employees are in any doubt as to whether the concern(s) raised falls within this Whistleblowing Policy or the Council's Grievance Policy, they should seek advice from the Council's Human Resources Section or Trade Union Representative.

4. Commitment to Employees

- 4.1 The Council is committed to good practice and high standards and wants to be supportive of employees making the decision to report any concern(s) they have under this Whistleblowing Policy. If employees raise a concern in good faith (ie. honestly), they are fulfilling their role as public servants and their duties to the Council. In these circumstances, employees will not be at risk of losing their job or suffering any form of reprisal or retribution as a result of raising a concern(s).
- 4.2 The Council will not tolerate any bullying, harassment, victimisation (including informal pressures), discrimination or unfair treatment of employees who raise a legitimate concern(s) under this Whistleblowing Policy. Such retaliation could include, but is not limited to:
- frequent and undesirable changes in work assigned;
 - unsubstantiated disciplinary action;
 - Isolation or exclusion
 - unjust denial of promotion or transfer

The Council will take appropriate action promptly to protect such employees.

- 4.3 Employees should refer to the Bullying and Harassment (Dignity at Work) Policy if they have any concerns regarding their treatment within the workplace.

5. Confidentiality

- 5.1 It is the Council's intention for this Whistleblowing Policy to help employees feel confident to raise any concern they may have without fear of victimisation, the Council recognises that it can be difficult at times to speak up openly. For this reason, when employees raise a concern(s) under this Whistleblowing Policy, the Council will not reveal their identity without their consent first being obtained or unless required by law (please see 4.2 below).
- 5.2 There are specific circumstances where confidentiality cannot be guaranteed. It may be impossible to take action to resolve a concern(s) without revealing the identity of the person who raised it, for example, where their personal evidence is essential. In such cases the Council will discuss with the employee who raised the concern whether and how best to proceed. Employees should remember that the Council owes a duty of fairness to all its employees, including those suspected of wrong-doing.
- 5.3 If there is an unauthorised disclosure of the identity of an employee or any other person who raised a genuine concern in confidence under this Whistleblowing Policy, disciplinary action may be taken against that employee.

6. Anonymous Allegations

- 6.1 An anonymous concern(s) is where no one knows the identity of the person who raised it. While this Whistleblowing Policy is designed to reassure employees that it is safe and acceptable for them to speak up, they may still have concerns about their own position. While the Council can offer confidentiality (see above), employees should remember that if they fail to reveal their identity to the Council, it will be more difficult for the Council to look into the concern(s) raised. The Council will not be able to protect their position or provide them with details of any outcome or feedback. The Director of Law, HR and Asset Management (Monitoring Officer) (or his authorised representative) will consider every anonymous concern(s) raised under this Whistleblowing Policy, however any decision to investigate will be at his/her sole discretion.
- 6.2 In exercising discretion referred to in 6.1 above, Director of Law, HR and Asset Management (or his authorised representative) shall have regard to following factors:
- the seriousness of the concern(s) raised;
 - the credibility of the concern(s);
 - the likelihood of confirming any allegation(s) made from attributable sources; and
 - any other material or relevant factor.

7. Untrue or unfounded allegations

- 7.1 No action will be taken against employees that raise a genuine concern(s) even if they are mistaken and no malpractice or serious risk is found.
- 7.2 However, if an employee makes an allegation under this Whistleblowing Policy which transpires to have not been raised in good faith, are malicious or for personal gain, disciplinary action may be taken against that employee.

8. How to raise a Concern

- 8.1 Employees are encouraged to first raise their concern(s) with their line manager or senior manager (where possible) using form Confidential Reporting Form 1 (CRF1) (which is available on the Council's Intranet) or alternatively the line manager or senior manager should record details of the concern(s) raised using form CRFI if the employee only wishes to raise his/her concerns verbally.
- 8.2 Whether or not an employee is able to discuss his/her concern(s) with his/her line manager or senior manager may depend upon the seriousness and sensitivity of the issues involved and the person(s) against whom the concern(s) have been raised. If, for example, an employee has previously attempted to raise his/her concern(s) with their line manager/senior manager with little success or his/her concern(s) involves his/her line manager/senior manager, then he/she should raise his/her concern(s) directly with one of the Designated Officers below:

- **Director of Finance**
- **Director of Corporate Services**
- **Director of Children's Services**
- **Director of Adult Social Services**
- **Director of Technical Services**
- **Head of Human Resources and Organisational Development**
- **Head of Legal and Member Services**
- **Strategic Service Manager – Safeguarding***

This list of Designated Officers will be reviewed on a regular basis

- 8.3 In the event that an employee is unable to raise his/her concern(s) with any of the Designated Officers mentioned above, then the employee should raise his/her concern(s) (using form CRF1 or the dedicated email address: whistleblowing@wirral.gov.uk) directly with the Director of Law, HR and Asset Management (the Monitoring Officer).

- 8.4 If an employee's concern(s) relates to the Director of Law, HR and Asset Management (the Monitoring Officer), then in such circumstances the employee should raise his/her concern(s) (using form CRF1) directly with the Chief Executive. The Chief Executive may consult with the Chairperson of the Audit and Risk Management Committee if he/she considers it appropriate.

9 How will the Council respond?

- 9.1 Where an employee has raised a concern in accordance with paragraph 7.1 and 7.2 above, the line manager or senior manager or Designated Officer (as applicable) will, no **later than 5 working days** from the date the CRF1 form is received, acknowledge receipt of the form CRF1 and provide a copy of it to the Director of Law, HR and Asset Management (Monitoring Officer) (or his/her authorised representative).
- 9.2 Upon receipt of the CRF1 form by the Director of Law, HR and Asset Management (Monitoring Officer) (or his/her authorised representative) he/she shall either undertake a preliminary assessment of the concern(s) raised or appoint a Designated Officer to do so.
- 9.3 Where the Director of Law, HR and Asset Management (Monitoring Officer) considers it appropriate, he/she may also refer any concern(s) raised to the Council's Internal Audit, Legal Section, Human Resources Sections and/or External Audit or the Police (or any other appropriate person or body) for consideration and/or specific action.
- 9.4 Within **ten working days** (or as soon as practicable possible) of the CRF1 form being received by the Director of Law, HR and Asset Management (the Monitoring Officer), he/she will write to the employee who has raised the concern(s) to confirm:
- details of the appointed Designated Officer with responsibility for progressing further the concern(s) raised;
 - the person or body who will undertake the investigation into the concern(s) raised (Investigating Officer/Body”);
 - details of how the concern(s) raised will be dealt with; and
 - where applicable, an estimate of how long it will take to conclude and provide details of the outcome of the investigation; and
 - details of any support facilities and mechanisms available to the employee.
- 9.5 The Designated Officer should maintain regular contact with the employee who has raised the concern to advise of progress and if there is any changes to indicative timescales or the investigation process.
- 9.6 In order to assure an employee that a concern they raised under this Whistleblowing Policy has been properly addressed, the appointed

Designated Officer will write to the employee informing him/her of the outcome of the investigation ("Outcome Letter"), subject only to any limitation or restrictions imposed by law or other Council policies/procedures and any duties owed to others by the Council.

There are a range of responses which could include one of the following;

- If there are changes to improve organisational processes, procedures or practices arising from the concern, this information should be provided.
 - In some cases, the outcome letter may state that the concern raised is already the subject of legal proceedings, or has been referred to the police or another body. The employee should be informed of this.
 - The concern raised is already, has been or should be the subject of proceedings under one of the Council's other relating to its employees. The employee should be informed of this.
- 9.7 It may be recommended that no further action be taken, for example, no malpractice has been found, or there is insufficient evidence to take the concern(s) raised any further;
- 9.8 Any document, report or recommendation prepared in relation to the concern(s) raised will not reveal the identity of the employee who raised the concern(s) unless:
- it is necessary for the Council to obtain legal advice;
 - the employee who raised the concern(s) has consented to the disclosure in writing; and/or
 - the Council is under a legal obligation or duty to do so.

10. What employees need to know when raising a concern

- 10.1 The Council is committed to handling concern(s) raised under this Whistleblowing Policy properly and promptly; and to ensuring appropriate impartial oversight of the operation of the Whistleblowing Policy and all concern(s) raised under it.
- 10.2 In all instances, employees can raise a concern(s) verbally, by telephone or in a face to face in a meeting. The Council acknowledges that raising a concern(s) about wrong-doing can be difficult, and as such, a trade union representative or work colleague may raise a concern(s) on the employee's behalf (where that employee is the Whistleblower), accompany the employee to speak with the line manager/senior manager or a Designated Officer to raise the concern(s), or to any other meeting where the concern(s) is to be more fully discussed.

- 10.3 The earlier a concern is expressed and the more information an employee can provide, the easier it is for the concern(s) to be investigated and for appropriate action to be taken. It is not advisable for an employee to take it upon him/herself to investigate any concern(s) they may have, nor should any employee wait until he/she has 'proof' supporting a concern they may have. However, the Council does expect the employee to explain (as comprehensively as possible) the circumstances giving rise to the concern being raised.
- 10.4 When employees raise a concern, they are encouraged to confirm their identity and provide details of how the Council can contact them (please see Anonymous Allegations above). By doing so, it becomes easier for the Council to properly examine the concern(s) raised, seek further information and provide an Outcome Letter (see above). If employees have any personal interest in the concern(s) or any worries about their own position, they should make that clear from the outset.
- 10.5 If, during the investigation, an employee is concerned about the progress being made, require support or reassurance, or feel he/she may be being victimised or harassed or otherwise disadvantaged as a result of making the disclosure, he/she should contact the appointed Designated Officer immediately.

11. External Disclosures and Independent Advice

- 11.1 It is the aim of this Whistleblowing Policy to give employees the reassurance and information they need to raise their concern(s) internally, the Council recognises that there may be circumstances where employees can properly report a concern(s) to an outside body.
- 11.2 Should an employee wish to raise a concern with an external body, they may wish to seek advice from their Trade Union or from Public Concern at Work. The Council's ultimate aim is that the concern is raised and heard.
- 11.3 The Council has subscribed to Public Concern at Work which is an independent charity which provides confidential advice to anyone concerned about wrong-doing at work. Public Concern can be contacted on 020 3117 2520 and more information about what they do can be found by visiting www.pcaw.org.uk.

12. Additional support for employees

- 12.1 Anyone who raises a concern(s) or is the subject of an investigation under this Whistleblowing Policy can access confidential counselling through Occupational Health Service.
- 12.2 The Employee Assistance Programme is an independent organisation that provides confidential help an assistance including counselling for employees and their families for any person or work-related issue. It is

available 24 hours a day, 7 days a week, 365 days a year. They can be contacted on 0800 015 4299 or via the website www.ppconlin.info (User Name – Wirral, Password – Council).

13. Roles and Responsibilities

- 13.1 The Director of Law, HR and Asset Management, (Monitoring Officer) has overall responsibility for the maintenance and operation of this Whistleblowing Policy.
- 13.2 The Director of Law, HR and Asset Management, (Monitoring Officer) has responsibility to ensure all issues raised under this Whistleblowing Policy are investigated thoroughly and in a timely manner.
- 13.3 On behalf of the Director of Law, HR and Asset Management, (Monitoring Officer), the Head of Human Resources and Organisational Development will ensure that a confidential corporate casework system is maintained containing all concerns and that the progress and outcomes of those concerns are fully documented within that system.
- 13.4 The Head of Human Resources and Organisational will appoint a Senior Human Resources Officer to co-ordinate and monitor the progress of investigations to ensure that they are carried out comprehensively and in a timely manner. The Senior Human Resources Officer will liaise with the appointed Designated Officer and/or Investigating Officer (and if necessary the Director of Law, HR and Asset Management, (Monitoring Officer)) to discuss the progress of investigations and identify and address any issues that arise that hinders or otherwise prevent the timely investigation of the concern(s) raised.
- 13.5 The Director of Law, HR and Asset Management, (Monitoring Officer) will review the system referred to in 13.3 above and produce and present a twice yearly report detailing any relevant matters and issues arising in connection with this Whistleblowing Policy to the Council's Executive Management Team and to the Audit and Risk Management Committee.
- 13.6 The reports prepared under 13.5 above will not disclose details of any employees (or other confidential information), but will summarise (so far as is possible without undermining or exposing the Council to unacceptable risk or challenge) the number and nature of the concerns raised under this Whistleblowing Policy, the Department(s) to which the concerns relate and the outcomes.
- 13.7 This Whistleblowing Policy will be reviewed within 2 months of the first anniversary of the date of its implementation and thereafter periodically by the Director of Law, HR and Asset Management, (Monitoring Officer).

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Internal Contacts**Appendix 1**

| | |
|---|--|
| Director of Law, HR and Asset Management (Monitoring Officer) | Bill Norman Director of Law, HR and Asset Management 0151 691 8498 billnorman@wirral.gov.uk |
|---|--|

| Designated Officers | |
|------------------------------|---|
| Adult Social Services | Howard Cooper Interim Director of Adult Social Services Old Market House 0151 666 3650 howardcooper@wirral.gov.uk |
| Children and Young People | David Armstrong Interim Director of Children's Services Hamilton Building 0151 666 4288 davidarmstrong@wirral.gov.uk |
| Corporate Services | Kevin Adderley Interim Director of Corporate Services North Annexe, Wallasey Town Hall 0151 691 8187 kevinadderley@wirral.gov.uk |
| Finance | Ian Coleman Director of Finance Treasury Building 0151 666 3056 iancoleman@wirral.gov.uk |
| Technical Services | David Green Director of Technical Services 0151 606 2104 davidgreen@wirral.gov.uk |
| Law, HR and Asset Management | Surjit Tour Head of Legal and Committee Services 0151 691 8569 surjittour@wirral.gov.uk |
| Human Resources | Chris Hyams Head of Human Resources 0151 691 8590 chrishyams@wirral.gov.uk |
| Safeguarding | Caroline McKenna Strategic Service Manager - Safeguarding 0151 666 5574 |

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External Contacts (and the matters they would deal with) APPENDIX 2

| | |
|---|---|
| <p>The Audit Commission <i>(proper conduct of public business, value for money, fraud and corruption in local government and health service bodies)</i></p> | <p>1st Floor, Millbank Tower, Millbank, London, SW1P 4HQ 0845 052 2646 (Whistleblowers dedicated line)</p> |
| <p>Care Quality Commission <i>(Health and Social Care Regulator)</i></p> | <p>Citygate Gallowgate Newcastle upon Tyne NE1 4PA</p> |
| <p>Charity Commission <i>(Administration of charities and of funds given or held for charitable purposes)</i></p> | <p>Charity Commission Direct PO Box 1227, Liverpool, L69 3UG 0845 3000 218</p> |
| <p>General Social Care Council <i>(Matters relating to the registration of social care workers under the Care Standards Act 2000).</i></p> | <p>General Social Care Council Goldings House 2 Hays Lane London SE1 2HB</p> <p>General 0845 070 0630 customer.service@gsccl.org</p> <p>Concerns about a Social Worker 01788 532405 cias@gsccl.org www.gsccl.org.uk</p> |
| <p>Her Majesties Revenue and Customs Tax Compliance issues</p> | <p>Freepost RSBT – YCYX – JYTK HM Revenue and Customs Tax Evasion Hotline Team Albert Bridge 1 Bridge Street Manchester M69 9DX 0800 788 877</p> |
| <p>Her Majesties Revenue and Customs Customs, Excise and VAT reporting.</p> | <p>Freepost SEA 939 PO Box 100 Gravesend Kent DA12 2BR 0800 595 000</p> |

| | |
|--|--|
| | |
| The Information Commissioner <i>(Compliance with data protection legislation)</i> | 0303 123 1113 or 01625 545745 |
| The Environment Agency <i>(Acts or omissions which have an actual or potential effect on the environment)</i> | Environment agency: National Customer Contact Centre PO Box 544 Rotherham S60 1BY |
| Health and Safety Executive <i>(Health and safety at work)</i> | Redgrave Court, Merton Road, Bootle, Merseyside, L20 7HS 0845 345 0055 |
| The Pensions Regulator <i>(Pension schemes)</i> | The Pensions Regulator, Napier House, Trafalgar Place, Brighton BN1 4DW 0870 6063636 |
| Standards Board for England <i>(Allegations of breaches of members codes of conduct)</i> | Standards for England Fourth Floor Griffin House 40 Lever Street Manchester M1 1BB 0161 817 5300 |
| Local Government Ombudsman <i>(Council maladministration)</i> | The Local Government Ombudsman PO Box 4771 Coventry CV4 0EH 0300 061 0614 |

A full list of regulatory bodies can be found at:
<http://www.pcaw.org.uk/law/lawregulatorses.htm>



**Whistleblowing Policy
Confidential Reporting Form**

Please provide as much information as possible so that the appropriate action can be taken as quickly as possible.

| |
|---|
| 1. Nature of the concern |
| |
| 2. Background, including key dates |
| |
| 3. Who is involved? |
| |
| 4. Have any other persons and/or organisations been contacted? |
| Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes, please provide details |
| |
| 5. Reasons for the concern? |
| |
| 6. How do you think the matter might best be resolved? |
| |
| 7. Do you have any personal interest in the matter? |
| |

| | |
|------------------------------------|-------------------------|
| Person raising the concern: | |
| Name: | Employee Number: |
| Post Title: | Department: |
| Signed: | Date: |

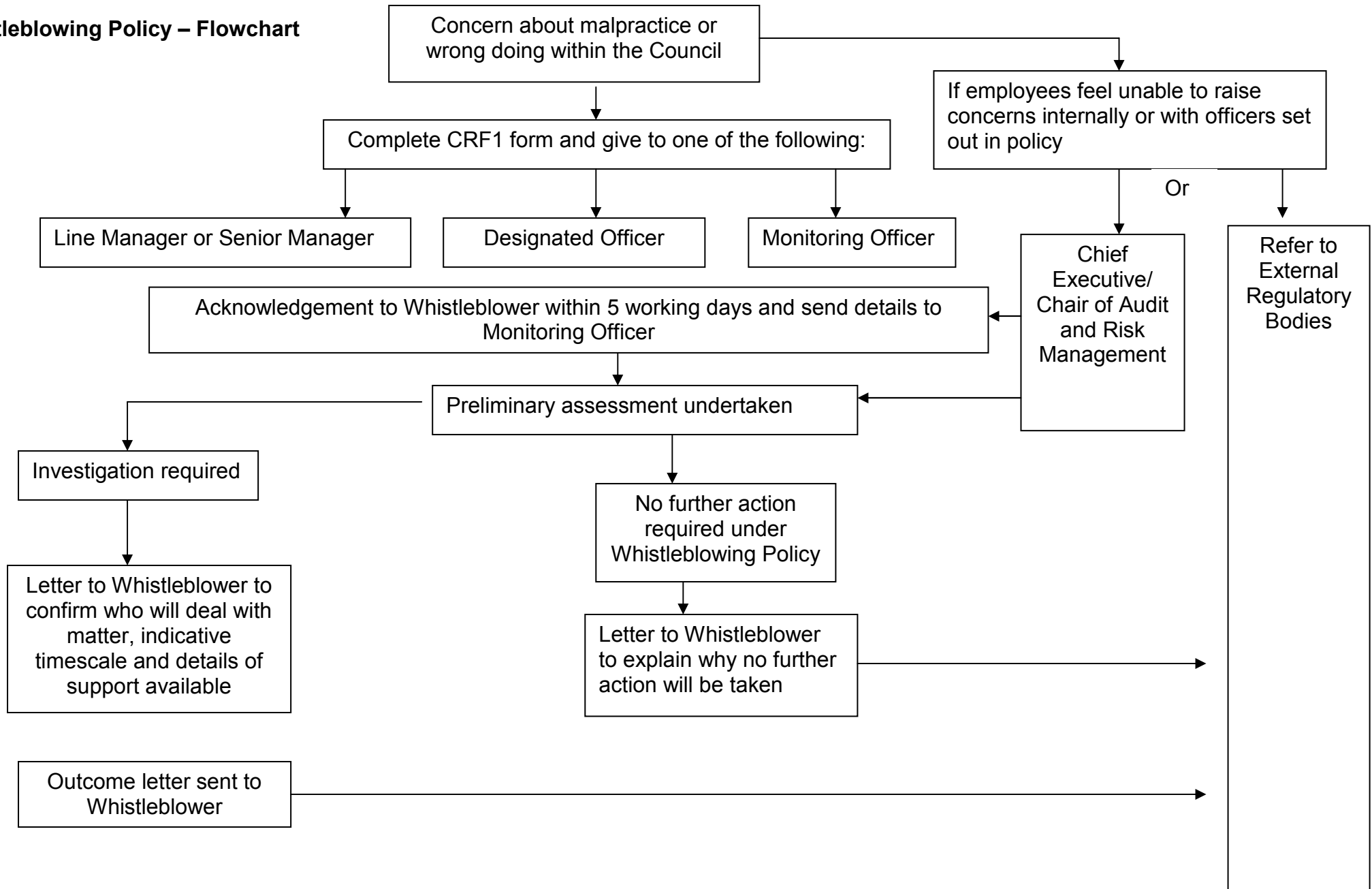
| | |
|---|-------------------------|
| Form completed by (if different from above): | |
| Name: | Employee Number: |
| Post Title: | Department: |
| Signed: | Date: |

Do you want this matter to be dealt with in confidence? Yes No

| | |
|--|--|
| Form received by: | |
| Name: | Employee Number: |
| Post Title: | Department: |
| Line Manager <input type="checkbox"/> | Senior Manager <input type="checkbox"/> |
| Designated Officer <input type="checkbox"/> | Monitoring Officer <input type="checkbox"/> |
| Chief Executive <input type="checkbox"/> | |
| Signed: | Date: |

| | |
|--|--|
| Date forwarded to Monitoring Officer: | |
| Date received by Monitoring Officer: | |

Whistleblowing Policy – Flowchart



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Appendix 5

Draft letter to employee from Manager/Senior Manager or Designated Officer

Dear

Reporting of concern under Whistleblowing Procedure

I write to acknowledge receipt of your form CRF1 dated *(insert date)* in accordance with the above procedure.

Or (if verbal concern from employee);

I refer to our meeting of *(insert date)* where you outlined a concern in accordance with the above procedure, and advise you that the concern has been formally registered.

I have passed the concern to the Director of Law, HR and Asset Management, the Council's Monitoring Officer, on *(insert date)* to consider how this concern should be taken forward.

The Monitoring Officer will write to you to confirm who will be responsible for dealing with the concerns you have raised and how the matter will be progressed.

Yours sincerely

Name of manager receiving complaint

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APPENDIX 6

Draft letter to Employee (Whistleblower) confirming how matter will be progressed

Dear

Reporting of concern under Whistleblowing Procedure

I am writing to confirm acknowledgement of the concerns you have raised under the Council's Whistleblowing Procedure and to outline how the matter will be taken forward.

Firstly, thank you for raising concerns. It is the important for employee to bring forward any issues of concern which could damage public trust and confidence in the services provided by the Council.

After initial consideration of the issues that you have raised I have made the decision that.

Either:

a) the concerns you have raised fall more properly within the Council's Grievance Policy (or some other policy) (copy attached), and if you wish to take the matter further you should follow the process outlined in that document.

Explain reasons

You can seek support from a member of the HR Team who will be able to talk through the process with you. (*Insert name and contact*)

Or

b) I believe that your complaint warrants a formal investigation.

Provide further details.....

Management Investigation

Internal Audit

Referred to Police

Refer to Regulatory Body

I will act as the Designated Officer in this case or It has been agreed that (Insert Name and Role) to be the Designated Officer in this case.

If management investigation - The officer undertaking the investigation will be name/job title.

If you are asked to attend a meeting as part of the investigation you may of course be accompanied by either a Trade Union representative or workplace colleague.

It is anticipated that it will take *(insert indicative timescales)* before I can advise you of progress.

You will be contacted by *(insert details)*

I/Designated Officer will keep you informed. Once the investigation is complete I/Designated Officer write to you and confirm the outcomes of the investigation into the concerns you have raised.

In the meantime, if you require any support you should contact *(insert named contact....)*

The Council will treat this matter confidentially in accordance with the terms of the Whistleblowing Policy.

If you have any queries about the contents of this letter, please let me know.

Yours sincerely,

Monitoring Officer

Draft letter to Employee (Whistleblower) confirming outcome of concerns

A meeting with person who has raised concerns may take place to advise them of the outcome. In this case, the letter should be confirmation of what was discussed at that meeting.

Dear

Outcome of Investigation into concerns raised under Council's Whistleblowing Policy

I refer to the concerns you raised under the Council's Whistleblowing Policy on *(insert date)*

I am writing to confirm the outcome of the management investigation that took place.

Conclusions of the Investigation

The principal conclusions of the investigation were as follows:

- *Either the full findings of the investigation report or a summary of the findings may be listed here.*
- *If the concern was unfounded, this needs to be made clear with reasons.*

As a result of this investigation, the following action has been taken:

- *Describe changes (if any) in operational practice*
- *(Where relevant) The (employee in question) has been formally counselled about their role in this matter, and the situation will be closely monitored to ensure no reoccurrence in the future*
- *(Where relevant) the (employee in question) has been dealt with under the Disciplinary/Capability Policy and:*

Finally, I would like to thank you again for bringing this matter to our attention.

I trust you feel that it has been dealt with satisfactorily. If you are dissatisfied with the outcome of the investigation or the process that has been followed, you do have the right to take this further through the internal process which is..... or, by contacting one of the regulatory bodies set out in Appendix B of

the Whistleblowing policy. You may also seek advice from Public Concern at Work who can be contacted on 020 3117 2520

If applicable - Should you wish we can arrange a meeting to discuss the contents of this letter, please contact me on (*insert details*)

Yours sincerely

Designated Officer/Director of Law, HR and Asset Management

WIRRAL COUNCIL

EMPLOYMENT COMMITTEE

DATE 29 SEPTEMBER 2011

| | |
|--------------------------------------|--------------------------------|
| SUBJECT: | BRIBERY ACT 2010 |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | THE DIRECTOR OF FINANCE |
| RESPONSIBLE PORTFOLIO HOLDER: | COUNCILLOR ADRIAN JONES |
| KEY DECISION? | YES |

1.0 EXECUTIVE SUMMARY

- 1.1. This report outlines the Bribery Act 2010, and sets out its implications for Wirral Council. The report also sets out the sanctions which are applicable to the Council, in the event of a prosecution under the Act.
- 1.2. A period of consultation preceded the implementation of the Act which was initially planned for 1 April 2011. Following the period of consultation the implementation date was delayed. On 30 March 2011 the Ministry of Justice published long awaited Guidance relating to the Act and announced that the implementation date will be 1 July 2011.
- 1.3. The Anti Bribery Policy which was approved by Cabinet on 2 June 2011 and recommended for consideration and approval at the Employment and Appointments Committee.

2.0 RECOMMENDATIONS

- 2.1. To approve the Anti-Bribery Policy attached at Appendix One.

3.0 REASON FOR RECOMMENDATIONS

- 3.1. The sanctions introduced by the Act are severe and offences include the corporate offence of 'failing to prevent an act of bribery.' There is however a defence available to the Council of having 'Adequate Procedures' in place. Appropriate actions will have to be taken in order that the Council can rely on the defence of having 'Adequate Procedures.'

4.0 BACKGROUND AND KEY ISSUES

- 4.1. Whilst most of the offences occur through the offering or acceptance of bribes there is also an offence under which an organisation can be prosecuted for failing to prevent bribery (section 7) The Act includes specific details about the type of functions and activities covered by the Act. Included amongst the list is 'any Function of a Public Nature'

- 4.2. The maximum sanctions for “other persons” (this includes Wirral Council) could be an unlimited fine if the case goes to the Crown Court. In addition if the Council was successfully prosecuted under the Act, the Council could be prevented from tendering for any dealings with other councils. Senior Officers can also be convicted of an offence where they are deemed to have given their consent, or connivance to giving or receiving a bribe or bribing a foreign official.
- 4.3. There is a defence available to the Council. The defence is that of having adequate procedures in place. To successfully rely on this defence the Serious Fraud Office would have to be satisfied that the anti bribery philosophy is embedded in the culture of Wirral. In order to prove that the Council has adequate procedures in place the Ministry of Justice has advocated a list of actions which the Council should undertake. The list includes:
- Completion of a risk assessment to identify all areas of the organisation potentially susceptible to Bribery
 - Ensuring that there is top level commitment to a culture of zero tolerance to bribery
 - Putting in place proportionate due diligence procedures
 - Ensuring that all pertinent policies are practical and accessible and understood by all employees
 - Ensuring that there is a system in place to monitor and review the effectiveness of actions.
- 4.4. The Council already has a governance framework which essentially includes all strategies, codes, policies, plan, rules, arrangements, terms and procedures which, to a lesser or larger extent, collectively not only detail necessary responsibilities and practices to ensure the effective discharge of Council duties and functions in a lawful, transparent, and accountable manner but also assists the Council mitigate against the risks to which it is exposed, including many of those now falling within the remit of the Act.
- 4.5. However there remain a number of actions which the Council should take to ensure full compliance with the act. These are set out in the action plan approved by Cabinet on 02 June which is currently being implemented.

5.0 RELEVANT RISKS

- 5.1. Failure of the Council to have a fully embedded culture of zero tolerance to bribery which could lead to the prosecution of the Council under section 7 of the Act with the potential sanction of an unlimited fine, prohibition from certain trading opportunities and consequential adverse publicity.

6.0 OTHER OPTIONS CONSIDERED

- 6.1. No other options considered. Wirral Council must comply with the requirements of the Bribery Act

7.0 CONSULTATION

7.1. CIPFA, especially the Better Governance Forum, has been consulted throughout the process regarding current best practice.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1. There are none arising directly from this report.

9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

9.1. There are none arising directly from this report.

10.0 LEGAL IMPLICATIONS

10.1. There are none arising from this report.

11.0 EQUALITIES IMPLICATIONS

11.1. There are none arising from this report.

12.0 CARBON REDUCTION IMPLICATIONS

12.1. There are none arising from this report.

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1. There are none arising from this report.

REPORT AUTHOR:

Beverley Edwards BA CPFA
Principal Auditor
0151 666 3492

APPENDICES

Appendix 1 - Anti Bribery Policy.

REFERENCE MATERIAL

The Bribery Act Guidance - Ministry of Justice, March 2011

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|-------------------------------------|--------------|
| Cabinet | 02 June 2011 |
| Audit and Risk Management Committee | 30 June 2011 |

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Anti Bribery Policy

1.0 Policy Statement - Anti Bribery

- 1.1 Bribery is a criminal offence. Wirral Council will neither pay bribes nor offer improper inducements to anyone for any purpose, nor accept bribes or improper inducements.
- 1.2 To use a third party as a conduit to channel bribes to others is a criminal offence. The Council does not, and will not, engage indirectly in or otherwise encourage bribery.
- 1.3 Wirral Council is committed to the prevention, deterrence and detection of bribery and has a zero-tolerance towards bribery. Anti-bribery compliance is to be embedded in every aspect of Council operations.

2.0 Objective of this policy

- 2.1 This policy provides a coherent and consistent framework to enable Council employees to understand and implement arrangements enabling compliance. In conjunction with related policies and key documents it will also enable employees to identify and effectively report a potential breach.
- 2.2 It is the responsibility of all personnel, including those permanently employed, temporary agency staff and contractors; and Members to:
 - act honestly and with integrity at all times and to safeguard the Council resources for which they are responsible
 - comply with the spirit, as well as the letter, of the laws and regulations of all jurisdictions in which the Council operates, in respect of the lawful and responsible conduct of activities

3.0 Scope of this policy

- 3.1 This policy applies to all Council activities. For partners, joint ventures and suppliers, the Council will seek to promote the adoption of policies consistent with the principles set out in this policy.
- 3.2 Within the Council, the responsibility to control the risk of bribery occurring resides at all levels of the organisation. It does not rest solely within assurance functions, but in all business units and corporate functions.

3.3 This policy covers all personnel, including all levels and grades, those permanently employed, temporary agency staff, contractors, non-executives, agents, Members (including independent members), volunteers and consultants.

4.0 The Council commitment to action

4.1 This Council commits to:

- Setting out a clear anti-bribery policy and keeping it up to date
- Making all employees aware of their responsibilities to adhere strictly to this policy at all times
- Training all employees so that they can recognise and avoid the use of bribery by themselves and others
- Encouraging all employees to be vigilant and to report any suspicions of bribery, providing them with suitable channels of communication and ensuring sensitive information is treated appropriately
- Rigorously investigating instances of alleged bribery and assisting police and other appropriate authorities in any resultant prosecution
- Taking firm and vigorous action against any individual(s) involved in bribery
- Providing information to all employees to report breaches and suspected breaches of this policy
- Including appropriate clauses in contracts to prevent bribery.

5.0 Bribery

5.1 Is an inducement or reward offered, promised or provided to gain personal, commercial, regulatory or contractual advantage.

6.0 The Bribery Act

6.1 There are four key offences under the Act:

- bribery of another person (section 1)
- accepting a bribe (section 2)
- bribing a foreign official (section 6)
- failing to prevent bribery (section 7)

6.2 The Bribery Act 2010

(http://www.opsi.gov.uk/acts/acts2010/ukpga_20100023_en_1) makes it an offence to offer, promise or give a bribe (Section 1). It also makes it an offence to request, agree to receive, or accept a bribe (Section 2). Section 6 of the Act creates a separate offence of bribing a foreign public official with the intention of obtaining or retaining business or an advantage in the conduct of business. There is also a corporate offence under Section 7 of failure by a commercial organisation to prevent bribery that is intended to obtain or retain business, or an advantage in the conduct of business, for the organisation. An organisation will have a defence to this corporate offence if it can show that it had in place adequate procedures designed to prevent bribery by or of persons associated with the organisation.

7.0 Penalties

7.1 An individual guilty of an offence under sections 1, 2 or 6 is liable:

- On conviction in a Magistrates Court, to imprisonment for a maximum term of 12 months (six months in Northern Ireland), or to a fine not exceeding £5,000, or to both
- On conviction in a Crown Court, to imprisonment for a maximum term of ten years, or to an unlimited fine, or both

7.2 Organisations are liable for these fines and if guilty of an offence under Section 7 are liable to an unlimited fine.

8.0 Bribery is not tolerated by Wirral Council

8.1 It is unacceptable to:

- give, promise to give, or offer a payment, gift or hospitality with the expectation or hope that a business advantage will be received, or to reward a business advantage already given
- give, promise to give, or offer a payment, gift or hospitality to a government official, agent or representative to "facilitate" or expedite a routine procedure
- accept payment from a third party that you know or suspect is offered with the expectation that it will obtain a business advantage for them
- accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by us in return
- retaliate against or threaten a person who has refused to commit a bribery offence or who has raised concerns under this policy
- engage in activity in breach of this policy.

9.0 Facilitation payments

9.1 Facilitation payments are not tolerated and are illegal. Facilitation payments are unofficial payments made to public officials in order to secure or expedite actions.

10.0 Gifts and hospitality

10.1 This policy is not meant to change the requirements of the Gifts and Hospitality Policy. This makes it clear that:

10.2 With the exceptions listed below, an employee should refuse any personal gift (including cash) offered to him/her or to a member of his/her family by any person who has, or seeks, dealings with the Authority, and the offer should be reported to the Chief Officer of the department concerned.

Exceptions:

1. A trivial gift of promotional character given to a wide range of people and not uniquely to the employees. These gifts are usually given at Christmas time and include calendars, diaries, desk charts, flow charts, tape measures, scales and other articles of use in the office or for the job.
2. Trivial gifts on the conclusion of any courtesy visit to a factory or firm of a sort normally given by that firm.

10.3 Similarly employees should be cautious about the acceptance of Hospitality or Entertainment, as detailed in the Gifts and Hospitality policy' which states that:

Special caution is needed where the host is a private individual or seeking to do business with the Authority or to obtain a decision from it or has been involved with the Authority commercially. It is important to avoid any suggestion of undue influence and therefore in these circumstances hospitality/entertainment should normally be avoided with the exception of modest refreshments provided during discussions/negotiations. Any hospitality/entertainment received should be registered.

11.0 Staff responsibilities

11.1 The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for the Council or under its control. All staff are required to avoid activity that breaches this policy.

11.2 You must:

- ensure that you read, understand and comply with this policy
- raise concerns as soon as possible if you believe or suspect that a conflict with this policy has occurred, or may occur in the future.

11.3 As well as the possibility of civil and criminal prosecution, staff that breach this policy will face disciplinary action, which could result in dismissal for gross misconduct.

12.0 Raising a concern

12.1 This Council is committed to ensuring that all employees have a safe, reliable, and confidential way of reporting any suspicious activity. Each and every member of staff can raise concerns.

12.2 All employees have a responsibility to help detect, prevent and report instances of bribery. Anyone who has a concern regarding a suspected instance of bribery or corruption, should report it

12.3 There are multiple channels through which concerns can be raised. Please refer to the Confidential Reporting (Whistleblowing) policy <http://wbcnet.admin.ad.wirral.gov.uk/Personnel/Confidential%20Reporting.htm>

- 12.4 Concerns can be anonymous. In the event that an incident of bribery, corruption, or wrongdoing is reported, action will be taken as soon as possible to evaluate the situation. The Council has clearly defined procedures for investigating fraud, misconduct and non-compliance issues and these will be followed in any investigation of this kind. This is easier and quicker if concerns raised are not anonymous.
- 12.5 Staff who refuse to accept or offer a bribe, or those who raise concerns or report wrongdoing can understandably be worried about the repercussions. The Council will support anyone who raises a genuine concern in good faith under this policy, even if they turn out to be mistaken.
- 12.6 The Council is committed to ensuring nobody suffers detrimental treatment through refusing to take part in bribery or corruption, or because of reporting a concern in good faith.
- 12.7 If you have any questions about these procedures, please contact

Internal Audit Counter Fraud Team

0151 666 3492

Other relevant policies

Fraud and Corruption Policy

<http://wbcnet.admin.ad.wirral.gov.uk/Personnel/Documents/Anti%20Fraud%20and%20Corruption%20policy%20June%202010.doc>

Anti Money Laundering Policy

http://wbcnet.admin.ad.wirral.gov.uk/Personnel/money_laundrying.htm

Confidential Reporting (Whistleblowing) Policy

<http://wbcnet.admin.ad.wirral.gov.uk/Personnel/Confidential%20Reporting.htm>

Gifts and Hospitality Policy

<http://wbcnet.admin.ad.wirral.gov.uk/Personnel/Conduct.htm#GIFT>

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WIRRAL COUNCIL

EMPLOYMENT & APPOINTMENTS COMMITTEE

29TH SEPTEMBER 2011

| | |
|--|---|
| SUBJECT: | WORKFORCE MONITORING 2010/11 |
| WARD/S AFFECTED: | NONE |
| REPORT OF: | DIRECTOR OF LAW, HR & ASSET MANAGEMENT |
| RESPONSIBLE PORTFOLIO HOLDER: | CLLR ADRIAN JONES |
| KEY DECISION? | NO |

1.0 EXECUTIVE SUMMARY

- 1.1 This report contains a summary of the monitoring and analysis of the Council's workforce for 2010/11 (1st April 2010 to 31st March 2011) and the proposed outcomes and actions to be taken as a result. The Summary Report (Appendix B) and Statistical Data Tables (Appendices C to I) fulfils the Council's specific employment duties in relation to employment for race, gender and disability.
- 1.2 The Statistical Data Table shows the report for 2010/11 and the Summary Report includes some comparative data between trends in the fourth quarter of 2010/11 and the fourth quarter of 2009/10.

2.0 RECOMMENDATION/S

- 2.1 That members note the findings of the Summary Report for 2010/11.

3.0 REASON/S FOR RECOMMENDATION/S

- 3.1 That members note that the requirement for the Authority to comply with specific employment duties and report upon them has been fulfilled.

4.0 BACKGROUND AND KEY ISSUES

- 4.1 The Council is obliged to fulfil the general and specific duties placed on public authorities to promote equality and prevent unlawful discrimination specifically in relation to race, gender and disability.

As part of the process of reviewing and examining equality information, it had previously been agreed at Committee that a report was to be brought to this Committee on a quarterly basis.

The Equality Watch Scheme is the Council's corporate single equality scheme, which includes an action plan for the period April 2009 to March 2012, and aims to mainstream all six equality strands in employment and

service delivery: gender (including transgender), disability, race, sexual orientation, age and religion or belief.

4.2 Workforce Monitoring Arrangements - Employment Duty

For organisations with more than 150 full time staff there are specific duties in relation to employment. Monitoring by racial group, disability and gender must be undertaken in regards to the numbers of staff, under the following employment aspects:

The number of staff/individuals who;

- Apply for employment
- End their service with the Authority/ Cease employment with the Authority
- Are in post
- Are involved in grievances
- Are subjected to disciplinary action
- Receive training
- Benefit or suffer from performance appraisals

Arrangements are in place to collect the required information to fulfil the employment duty. The summary of the monitoring and analysis of the Council's workforce for 2010/11 and the proposed outcomes and actions to be taken as a result are shown in Appendix A.

The purpose of the Quarterly report is to inform the Employment & Appointments Committee of the Council's performance in meeting the specific employment duties of the former Equality Schemes for Race, Disability and Gender which have now been replaced by the Public Sector Equality Duty (Equality Act 2010).

This workforce monitoring report and summary does not include Teachers.

From the reporting year 2009/10 the Workforce Monitoring Statistics have also been produced on an annual basis following Quarter 4. The annual Workforce Monitoring Summary and Analysis report is available to the public on the Council's website.

5. **PUBLIC SECTOR EQUALITY DUTY**

- 5.1 The duty requires us to publish workforce information by 31 January 2012 including:

Workforce profile, pay gaps, job application success rates, take up of training opportunities, promotion success rates, return to work rates after maternity leave, reasons for termination of employment, length of service, time on pay grade

- 5.2 At present the Council maintains, monitors and publishes employee data in relation to the following:

- Employment Status (Permanent Full-Time, Permanent Part-Time, Permanent Job Share, Temporary Employees and Modern Apprentices)
- Length of Local Government Service
- Age
- Ethnic Origin
- Sexual Orientation
- Gender
- Transgender
- Disability
- Religion or Belief
- Country of Birth
- Nationality
- Starters
- Leavers and the reasons for leaving

Further will need to be undertaken to meet the new requirements.

5.3 Equality Framework for Local Government

The Council was awarded 'Achieving' status of the new Equality Framework for Local Government (EFLG) in 2009 and is working towards achieving 'Excellent' status by mid 2012.

6.0 RELEVANT RISKS

- 6.1 Without workforce monitoring data and analysis the Council would not have a useful tool to measure whether it's equality and human resources policies and practices are effective or to identify and remedy any potential discrimination. It would also be unable to fulfil the Council's statutory employment duties and national and local indicators.

7.0 OTHER OPTIONS CONSIDERED

- 7.1 Workforce Monitoring must be undertaken to fulfil the Council's statutory obligations.

8.0 CONSULTATION

- 8.1 Consultation takes place concerning the actions arising from the report with the Corporate Equality Cohesion and other groups.

9.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

- 9.1 The opportunity to involve organisations representing the community are taken where appropriate for example the Council's recruitment practices.

10.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

- 10.1 There are none arising from this report.

11.0 LEGAL IMPLICATIONS

- 11.1 The purpose of the Quarterly Workforce Monitoring report is to inform the Employment & Appointments Committee of the Council's performance in meeting the specific employment duties (detailed in 4.2) of the former Equality Schemes for Race, Disability and Gender which have now been replaced by the Public Sector Equality Duty (Equality Act 2010).

12.0 EQUALITIES IMPLICATIONS

- 12.1 By undertaking monitoring and analysis of workforce data this enables the Council to fulfil the specific duties in relation to employment for race, disability and gender. The Council also monitors and analyses age, transgender, sexual orientation and religion or belief and also reports on this data. This will assist with ensuring that the Council is promoting equality and diversity and is taking all necessary steps to prevent the possibility of unlawful discrimination.

The Human Rights Act 1998 provides that no public authority may breach a person's human rights as provided in the European Convention on Human Rights and Fundamental Freedoms ("the Convention). The Convention protects key freedoms including the right to respect for a persons private and family life, their home and correspondence, freedom of thought, conscience, expression and religion and the right of freedom of assembly and to found and be a member of a trade union, amongst others. Article 14 of the Convention provides that no person should be discriminated against on any grounds in relation to their rights under the Convention.

The Council's Equality Watch Scheme aims to ensure that people who work for the Council or use its services are not discriminated against in their work or in their access to those services.

- 12.2 Equality Impact Assessment (EIA)
Is an EIA required? No

An EIA has been undertaken on the Workforce Monitoring Policy. The Workforce Monitoring Report and Summary enables the Council to monitor the effectiveness of the Policy and identify any potential inequalities and propose actions if necessary.

13.0 CARBON REDUCTION IMPLICATIONS

- 13.1 There are none arising from this report.

14.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

- 14.1 There are none arising from this report.

REPORT AUTHOR: **Chris Hyams**
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APPENDICES

Appendix A - Index of Appendices B to I

REFERENCE MATERIAL

The following documents were used in the preparation of this report.

- 2010/11 Workforce Monitoring Statistics (Excluding Schools)
- 2010/11 Recruitment Analysis Statistics (Excluding Teachers)
- 2010/11 Disciplinary and Grievance Statistics (Excluding School)
- 2010/11 Training Statistics (Excluding Schools)

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|--|---|
| Employment & Appointments Committee (Workforce - 1 st Oct to 31 st Dec 2010/11 Q3) | Quarterly 23 rd March 2011 |
| (Workforce - 1 st Jul to 30 th Sep 2010/11 Q2) | 23 rd November 2010 |
| (Workforce - 1 st Apr to 30 th Jun 2010/11 Q1) | 16 th September 2010 |
| (Workforce –Annual 1 st Apr to 31 st Mar 2009/10) | 17 th June 2010 |
| (Workforce – 1 st Oct to 31 st Dec 2009/10 Q3) | 30 th March 2010 |
| (Workforce – 1 st Jul to 30 th Sep 2009/10 Q2) | 26 th January 2010 |
| (Workforce – 1 st Apr to 30 th Jun 2009/10 Q1) | 15 th September 2009 |
| (Workforce – 1 st Jan to 31 st Mar 2008/09 Q4) | 15 th June 2009 |
| (Workforce - 1 st Oct to 31 st Dec 2008/09 Q3) | 7 th April 2009 |
| (Workforce - 1 st Jul to 30 th Sep 2008/09 Q2) | 3 rd December 2008 |

Index of Appendices

- A) Index of Appendices
- B) Report: Summary of Monitoring and Analysis of the Workforce (Excluding Schools)
- C) Table: Recruitment Analysis (Externally advertised posts, excluding Teachers)
- D) Chart: Comparison of Shortlisting and Appointment Rate (Excluding Teachers)
- E) Table: Leaver Analysis (Excluding Schools)
- F) Charts: Minority Groups (Excluding Schools)
Percentage of Leavers by Category
Minority Groups as a Percentage of the Workforce
- G) Table: In Post Analysis (Excluding Schools)
- H) Table: Employee Interactions (Excluding Schools)
- I) Chart: Employee Interactions - Grievance and Disciplinary (Excluding Schools)

1 Summary of Monitoring and Analysis of the Workforce 2010/11

- 1.1 The comparative data tables and charts referenced within this summary report are attached as Appendices C to I. This report gives a summary of the data analysis, trends identified and proposed actions for each category.

An adjustment to the previously reported Quarter is also made to reflect a more accurate picture and accommodate processing times for employee data. Where necessary any adjustments of note are referred to within the summary.

A summary of the workforce statistics for 2010/11 excluding schools is as follows:

2 Recruitment/Apply for Appointment (Appendices C and D)

- 2.1 The Recruitment Analysis table (Appendix C) shows the total number of applicants at each Recruitment stage: Applied, Shortlisted and Appointed. The data is then further disaggregated by Gender, Disability and Ethnic Origin. This is based on all appointments to externally advertised posts only.

The baseline for calculation of percentages is always the number of applicants for each category.

2.2 Trends

The success rates of each category can be compared by looking at the Comparison of Shortlisting and Appointment Rates Chart (Appendix C).

- 2.2.1 **Shortlisted** - The data analysis has identified that during Quarter 4 divergence from the norm (39.67%) was minimal in all groups except disabled (16.67%). Of the six applicants with a disability five did not meet essential criteria.

- 2.2.2 **Appointed** - The data analysis has identified that during Quarter 4 when compared to the norm (13.59%): male applicants were twice as likely as females to be appointed. One disabled candidate was shortlisted but did not achieve the highest score at interview.

When comparing Quarter 4 to 2009/10 the number of job applicants this year is about 32% of previous year figure and candidates appointed about 44%. This is because the Council agreed in July 2010 to implement restricted recruitment. This has resulted in significantly less posts being advertised and recruited to.

The overall trend when compared to the norm for the all 4 quarters (30.75% shortlisted and 8.42% appointed) continues: disabled and white ethnic background applicants are the most likely to be shortlisted and appointed.

Whilst male candidates appear to be marginally more successful than females at interview the overall figure shows a much narrower gap with 57 (8.86%) male and 58 (8.02%) female appointments.

There were no Non-White applicants in quarter 4, however, Non-White applicants continue to be less successful over the year which will continue to be monitored.

2.3 Action

The restrictions on recruitment in place would account for the overall low number of applicants (184) during in the latter half of the year.

3 Leavers (Appendices E and F)

3.1 The Leaver Analysis (Appendix E) shows the number of leavers disaggregated by Gender, Disability and Ethnic Origin.

3.2 Trends

The rate of employees leaving by category can be compared by looking at the Percentage of Leavers by Category Chart (Appendix F).

Turnover for Quarter 4 is considerably influenced by the EVR/Voluntary Severance exercise undertaken by the Council with higher than normal employees leaving the organisation.

Of the categories with information available only non-white employees shows any significant divergence from the norm with 13.99% leaving compared to the norm of 18.35%, i.e. 4.36% more.

The number of employees leaving whose disability or ethnic origin data was not available appears in the tables as a proportionately high percentage, however, when looking at the numbers that this actually represents it is not a significant trend.

3.3 Action

As outlined above (3.2) the trend for leavers has substantially increased which is to be expected given the EVR/Severance exercise underway at the time. This will continue through to July 2011.

4 Employees in Post (Appendices F and G)

4.1 The In Post Analysis (Excluding Schools) Table shown in Appendix G shows the number of employees in the workforce disaggregated by employment status, gender, disability, ethnic origin, age, sexual orientation, transgender, religion or belief and length of service.

It should be noted that the percentages for proportions of the workforce will differ from the Council's Performance Indicators because they are calculated differently. This is to ensure consistency throughout the Summary Report Tables. This report shows the numbers of employees who have not declared their status or where information is not available and these figures are included in the calculation of percentages whereas in the Performance Indicators they are not.

4.2 Trends – Diversity of the Workforce

- 4.2.1 **Employment Status** – shows the five main contracts that individual's are employed on. The proportions have remained relatively consistent in comparison to Quarter 4 for 2009/10. The majority of employees are employed on permanent full-time contracts, followed by permanent part-time contracts. Whilst the actual numbers are relatively low the overall percentage of temporary employees reduced with percentage of Modern Apprentices increasing.
- 4.2.2 **Gender** – there is a higher proportion of females, which is attributable to the nature of the work provided by the Authority and the different employment contracts available, for example, part-time and job-share. The male/females ratio remains consistent in comparison to Quarter 4 for 2009/10 although the overall workforce number has decreased by 632 employees (10.6%) in comparison.
- 4.2.3 **Disability** – the number of employees declaring a disability which is 3.21% of the workforce shows a slight increase. However, this remains consistent throughout the year in proportion to the total workforce figure. It is acknowledged that only around 75% of the workforce have made a declaration in relation to disability. Approximately 25% have chosen not to declare whether or not they have a disability.
- 4.2.4 **Ethnic Origin** – the number of employees declaring they are from a white ethnic origin represents 83.67% of the total workforce, 1.92% are from a non-white ethnic origin, a marginal increase, and 12.80% have chosen not to declare.
- 4.2.5 **Age** – The age profile show only small movements from the previous year, however, the number of employees over 55 reduced from 24.77% to 22.0%. This would be expected given the EVR/VS exercise undertaken at the time. It has already been recognised that the Authority has an ageing workforce but this is a reflection of an ageing population both regionally and nationally.
- 4.2.6 **Sexual Orientation** – the majority of those making a declaration are heterosexual (38.13%). A small population of the workforce have declared that they are Gay (0.49%) or Bisexual (0.09%). 33.06% of the workforce have not been surveyed yet. However, of those surveyed 28.23% have chosen not to declare which is a significant proportion of the workforce.
- 4.2.7 **Transgender** - the number of employees who declared their gender is the same as at birth is 37.41%, gender changed since birth is 0.25% but the

original phrasing of this question was changed during the survey process due to feedback on ambiguous wording. 26.53% of the workforce did not wish to declare and 35.81% are still to be surveyed.

4.2.8 Religion or Belief – 35.54% of the workforce have declared a religion or belief, 5.53% do not have a religion or belief, 25.61% have chosen not to declare and 33.02% of the workforce have not been surveyed yet. The highest religion group is Christian 31.13% (including Church of England, Catholic, Protestant and all other Christian denominations).

4.2.9 Length of service – The largest service category continues to be 5-9 years (23.78%) followed by 1-4 years service (18.37%). 28.39% have served for over 20 years.

4.2.10 Equality Strands

Minority Groups as a Percentage of the Workforce can be compared in on the chart at Appendix F. Whilst approximately a third of the workforce are still to be surveyed in relation to the newer strands the numbers have remained fairly consistent over the year.

4.2.11 Comparisons with Quarter 4 for 2009/10

Overall the trends for Quarter 4 are relatively consistent with the previous year. However, it is anticipated that the Council should see some of the trends start to change over the 2011/12 period as data gaps are closed and actions already identified are implemented and developed.

The changes in the make up of the workforce has increased the proportion of data not available.

The overall workforce number has dropped by 10.6% when compared to this time last year.

4.2.12 Forecast

As the overall workforce number reduced through the EVR/VS exercise the make up of the workforce is also expected to change. It is anticipated that the number of over 55 year olds in the workforce will decrease as this age group were able to take up the Early Voluntary Retirement scheme until July 2011.

With the continuation of the EVR/VS exercise it is also anticipated that the overall workforce will reduce by a further 7 - 8%

4.3 Action

The next Workforce Monitoring Survey is scheduled to be undertaken during 2011/12. This will give us the opportunity to:

- 1) redefine the categories that we are monitoring the workforce against the protected groups as defined by the Equality Duty.
- 2) communicate the purpose of the monitoring data to improve the level of response.

5 Employee Interactions:

5.1 The following data has been categorised under 'Employee Interactions'. The numbers of discipline and grievances in the workplace is detailed with analysis against the employee's background as presented in the report. The previous data provides information about the diverse nature of the workforce. This information is about procedural or developmental interaction with our employees.

5.2 Grievance (Appendices H and I)

5.2.1 The number of grievances reported is the number of cases that have been resolved/closed during that quarter.

The group percentages are the proportion of the group within the workforce.

5.2.2 Trends

The category of employees who have raised grievances and had them resolved can be compared by looking at the Grievance as a Percentage of Group Chart (Appendix I).

Previous reports had shown that grievances were more likely to be raised by male employees. However, this trend reversed during Quarter 3 and female employees became the norm. The only cases closed during quarter 4 were all raised by female employees. This brings the overall figure for 2010/11 to show only marginally difference based on gender with female employees being the slightly higher figure.

To date for 2010/11, 0.35% of the total workforce have raised a grievance and had it resolved.

Given the number of cases involved the statistics can show high variance in relation to minority areas, with disabled and non-white areas showing considerably higher than average rates. However as can be seen in the non-white category, a single case here contributes to the entire rate.

5.2.3 Action

Analysis of the issues and trends behind grievances will continue to be monitored closely.

5.3 Disciplinary (Appendices H and I)

5.3.1 The number of disciplines reported is the number of cases that have been resolved/closed during each quarter (Appendix H).

The group percentages are the proportion of the group declared within the workforce.

5.3.2 Trends

The category of employees who have been through the disciplinary process can be compared by looking at the Discipline as a Percentage of Group Chart (Appendix I).

On average, 0.04% of the total workforce have been disciplined during Quarter 4. When taking into account that this is made up of only two cases, 1 male and 1 female any conclusion on trend is overly distorted by the small number of cases.

The end of year figure is 0.28% of the workforce have undergone disciplinary action during 2010/11.

Further analysis shows that the numbers involved in the disabled and 'non-white' categories are disproportionate and only represent 1 employee from each category. This will continue to be monitored to ensure that there are no discriminatory practices.

5.3.3 Action

Continue work to ensure that recording of disciplinary cases is accurate and timely.

Close monitoring of the number of cases and any emerging patterns during the rest of the year will be undertaken.

5.4 Training (Appendix H)

5.4.1 The number of training attendances are the number of employees who have received a method of training during each quarter (Appendix H).

The group percentages are the proportion of the group declared within the workforce.

The Attend rate is the average number of training 'days' per person.

5.4.2 Trends

The data for Quarter 4 shows that female employees continue to be more likely to apply for and receive training. The number of disabled and non-white employees receiving training has increased during this quarter. The statistical increase appears to be influenced by the large reduction in the number of training days delivered in quarter 4 rather than increased take-up

The annual summary shows that overall male and non-white employees continue to be less likely to apply for and receive training.

This area of information does not have the same data collection consistency as the other figures reported. Improvement is required to ensure accuracy of the reported figures.

5.4.3 Action

Explore the reasons why male or non-white ethnic origin employees are less likely to apply and receive and ensure there are no discriminatory practices.

To undertake further work to promote these activities to these specific groups.

To monitor disabled employees to see if the trend continues during the next quarter.

5.5 Key Issues Exchange (KIE)

5.5.1 It has been acknowledged that the number of Key Issues Exchanges has been under-reported previously and the data has not been disaggregated by each category. The monitoring and reporting of Key Issue Exchange is currently under review as part of the review of our approach. Therefore, the data table has been removed from the Employee Interactions

6 Key Outcomes, Actions and Progress

6.1 Based upon the outcomes the Council proposes to take the following action:

6.1.2 Recruitment

Recruitment controls are in effect and account for the overall low number of applicants for posts. It is expected that the recruitment controls will remain in place for the foreseeable future and therefore less posts will be advertised and recruited to (2.3).

6.1.3 Leavers

To review the Leaver Interview Policy and Procedure and improve the data capture, recording, monitoring and analysis (3.3).

6.1.4 Employees In Post

To undertake Workforce Monitoring Survey during 2011/12 to provide the Council with improved data.

To explore how development opportunities can be accessed by minority groups of existing employees (4.3).

To publish the data to meet the Public Sector Equality Duty by 31 January 2012 with an action plan to address any gaps. (Report paragraph 5)

6.1.5 Grievance

Analysis of the issues and trends behind grievances will continue to be monitored closely (5.2.3).

6.1.6 Discipline

Work will continue to ensure that recording of disciplinary cases is accurate and timely. Close monitoring of the number of cases and any emerging patterns during the rest of the year will also continue to be undertaken (5.3.3).

6.1.7 Training

This area of information does not have the same data collection consistency as the other figures reported. Improvement is required to ensure accuracy of the reported figures. Further analysis and the production of an improvement plan is required.

In the meantime, based upon information available, look into the reasons why male or non-white ethnic origin employees are less likely to access training and work to promote these activities to these specific groups (5.4.3).

6.1.8 Key Issue Exchange

To review the monitoring of KIE as part of the review of the Council's approach.

Recruitment Analysis 2010-11 (Advertised Posts Excluding Teachers)

Appendix C

| | 2009/10 Quarter 4 | | 2010-11 | | | Actual Quarter 1 | | | Actual Quarter 2 | | | Actual Quarter 3 | | | Actual Quarter 4 | | | Total | |
|----------------|-------------------|--------------|---------|--------------|--------|------------------|--------|-----|------------------|--------|--------|------------------|--------|--------|------------------|--------|--------|--------------|--|
| | No. | % of Applied | Norm | % of Applied | No. | % of Applied | Norm | No. | % of Applied | Norm | No. | % of Applied | Norm | No. | % of Applied | Norm | No. | % of Applied | |
| All Applicants | 581 | | Applied | 493 | | 482 | | 207 | | 184 | | 1,366 | | | | | | | |
| | 193 | 33.22% | 33.22% | 184 | 37.32% | 37.32% | 14.73% | 71 | 14.73% | 14.73% | 44.44% | 73 | 39.67% | 39.67% | 420 | 30.75% | 30.75% | | |
| | 57 | 9.81% | 9.81% | 46 | 9.33% | 9.33% | 3.73% | 18 | 3.73% | 3.73% | 12.56% | 25 | 13.59% | 13.59% | 115 | 8.42% | 8.42% | | |

| | | | | | | | | | | | | | | | | | | | |
|------|-----|--------|---------|-----|--------|--------|--------|----|--------|--------|--------|-----|--------|--------|-----|--------|--------|--|--|
| Male | 324 | | Applied | 225 | | 227 | | 75 | | 116 | | 643 | | | | | | | |
| | 69 | 21.30% | 33.22% | 65 | 28.89% | 37.32% | 14.73% | 36 | 15.86% | 14.73% | 44.44% | 47 | 40.52% | 39.67% | 193 | 30.02% | 30.75% | | |
| | 20 | 6.17% | 9.81% | 18 | 8.00% | 9.33% | 3.73% | 11 | 4.85% | 3.73% | 12.56% | 19 | 16.38% | 13.59% | 57 | 8.86% | 8.42% | | |

| | | | | | | | | | | | | | | | | | | | |
|--------|-----|--------|---------|-----|--------|--------|--------|-----|--------|--------|--------|-----|--------|--------|-----|--------|--------|--|--|
| Female | 257 | | Applied | 268 | | 255 | | 132 | | 68 | | 723 | | | | | | | |
| | 124 | 48.25% | 33.22% | 119 | 44.40% | 37.32% | 14.73% | 35 | 13.73% | 14.73% | 44.44% | 26 | 38.24% | 39.67% | 227 | 31.40% | 30.75% | | |
| | 37 | 14.40% | 9.81% | 28 | 10.45% | 9.33% | 3.73% | 7 | 2.75% | 3.73% | 12.56% | 6 | 8.82% | 13.59% | 58 | 8.02% | 8.42% | | |

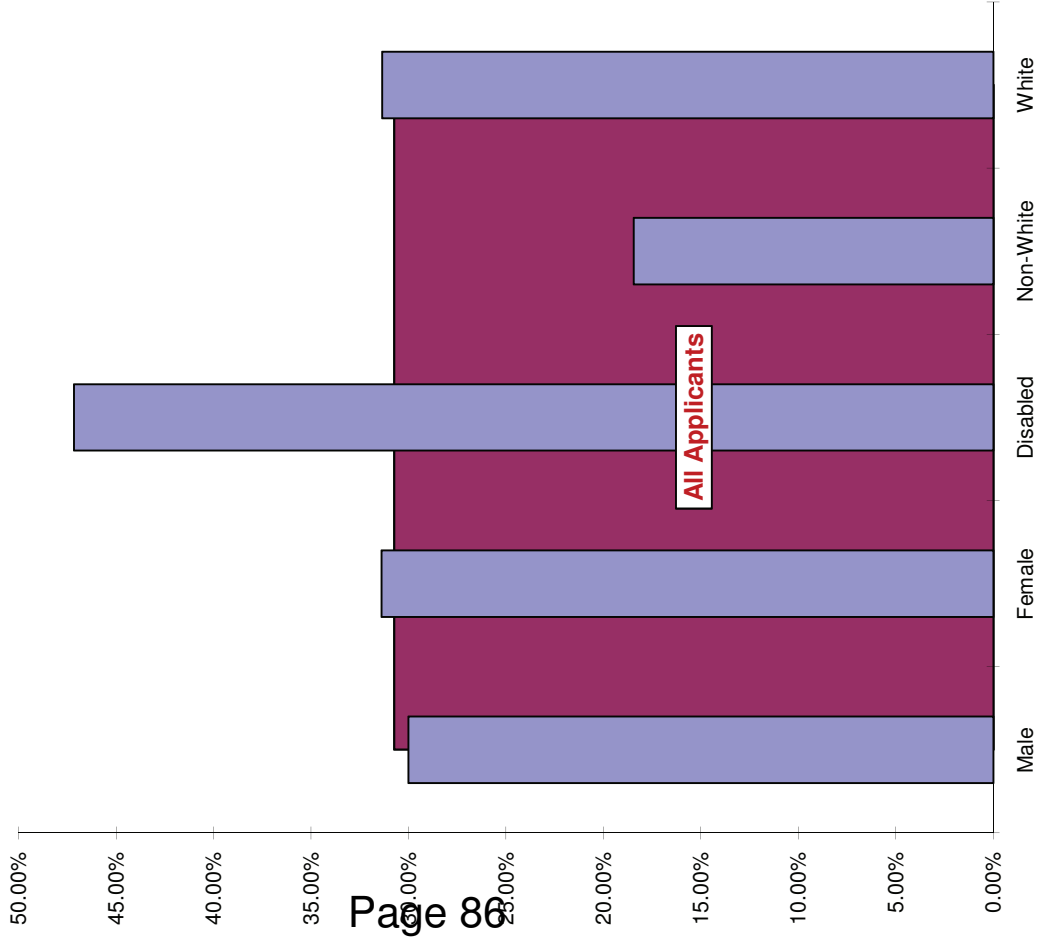
Page 58 of 65

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|------------|----|--------|---------|----|--------|--------|--------|---|--------|--------|--------|----|--------|--------|----|--------|--------|--|--|
| Disability | 24 | | Applied | 21 | | 21 | | 5 | | 6 | | 53 | | | | | | | |
| | 12 | 50.00% | 33.22% | 14 | 66.67% | 37.32% | 14.73% | 5 | 23.81% | 14.73% | 44.44% | 1 | 16.67% | 39.67% | 25 | 47.17% | 30.75% | | |
| | 1 | 4.17% | 9.81% | 3 | 14.29% | 9.33% | 3.73% | 1 | 4.76% | 3.73% | 12.56% | 0 | 0.00% | 13.59% | 6 | 11.32% | 8.42% | | |

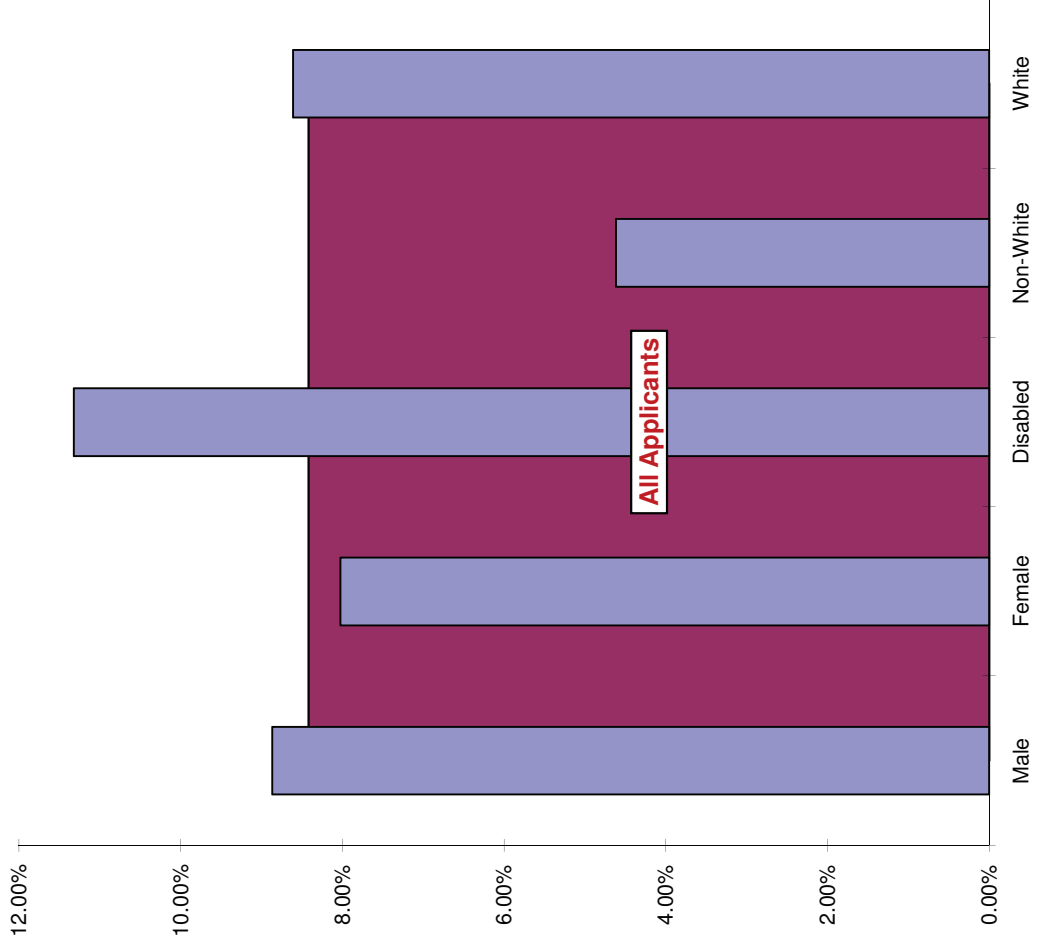
| | | | | | | | | | | | | | | | | | | | |
|-----------|----|--------|---------|----|--------|--------|--------|----|--------|--------|--------|----|-------|--------|----|--------|--------|--|--|
| Non-White | 42 | | Applied | 26 | | 25 | | 13 | | 1 | | 65 | | | | | | | |
| | 18 | 42.86% | 33.22% | 8 | 30.77% | 37.32% | 14.73% | 3 | 12.00% | 14.73% | 44.44% | 0 | 0.00% | 39.67% | 12 | 18.46% | 30.75% | | |
| | 2 | 4.76% | 9.81% | 1 | 3.85% | 9.33% | 3.73% | 1 | 4.00% | 3.73% | 12.56% | 0 | 0.00% | 13.59% | 3 | 4.62% | 8.42% | | |

| | | | | | | | | | | | | | | | | | | | |
|-------|-----|--------|---------|-----|--------|--------|--------|-----|--------|--------|--------|-------|--------|--------|-----|--------|--------|--|--|
| White | 539 | | Applied | 467 | | 457 | | 194 | | 183 | | 1,301 | | | | | | | |
| | 175 | 32.47% | 33.22% | 176 | 37.69% | 37.32% | 14.73% | 68 | 14.88% | 14.73% | 44.44% | 73 | 39.89% | 39.67% | 408 | 31.36% | 30.75% | | |
| | 55 | 10.20% | 9.81% | 45 | 9.64% | 9.33% | 3.73% | 17 | 3.72% | 3.73% | 12.56% | 25 | 13.66% | 13.59% | 112 | 8.61% | 8.42% | | |

Shortlisted Rate



Successful Appointment Rate



Leaver Analysis 2010-11 (Excluding Schools)

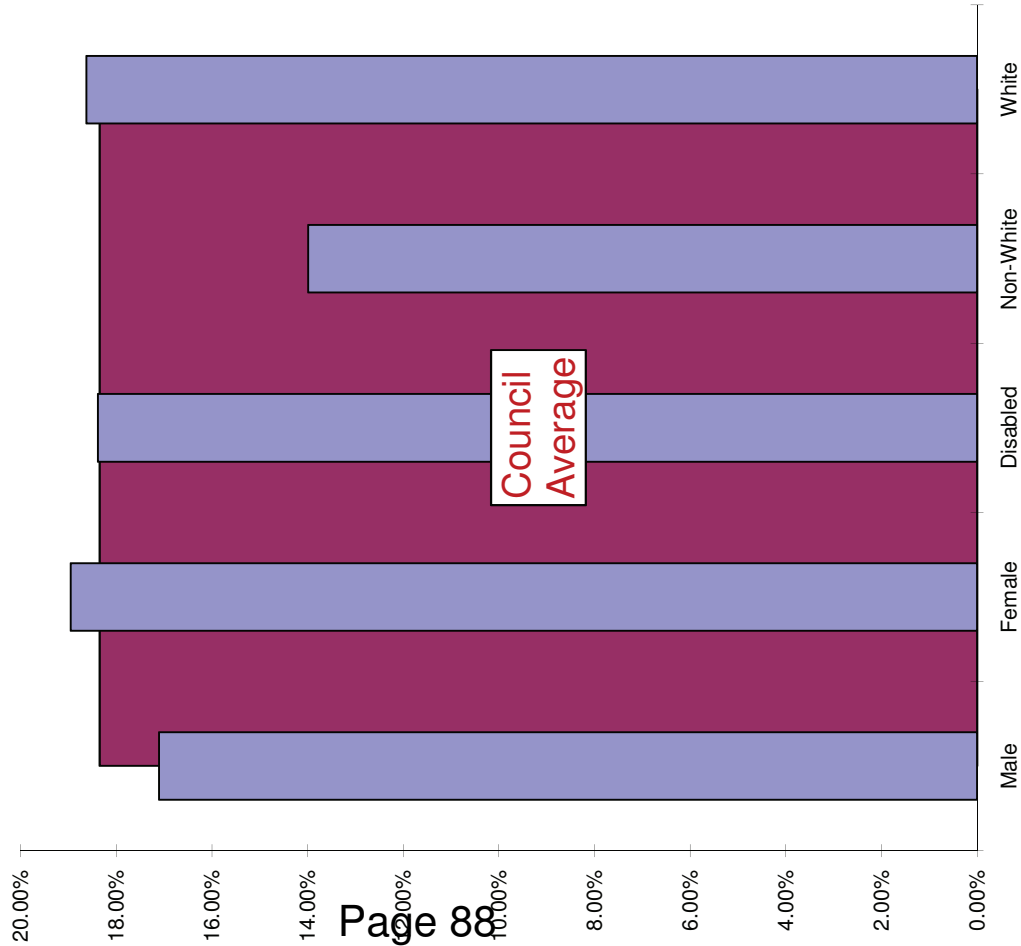
Appendix E

| Gender | 2009/10 Quarter 4 | | 2010-11 | | | Actual Quarter 1 | | | Actual Quarter 2 | | | Actual Quarter 3 | | | Actual Quarter 4 | | | Total | | |
|--------|-------------------|-------------|---------|-----------|-------|------------------|-----------|-------|------------------|-----------|-------|------------------|-----------|-------|------------------|-----------|--------|--------|---------------------|--------|
| | No | Workforce % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce (Average) | % |
| | 42 | 1,918 | 2.19% | 38 | 1,931 | 1.97% | 31 | 1,929 | 1.61% | 184 | 1,808 | 10.18% | 65 | 1,768 | 3.68% | 318 | 1,859 | 17.11% | 318 | 1,859 |
| 85 | 4,103 | 2.07% | 68 | 4,037 | 1.68% | 76 | 4,008 | 1.90% | 288 | 3,805 | 7.57% | 297 | 3,535 | 8.40% | 729 | 3,846 | 18.95% | 729 | 3,846 | 18.95% |
| 127 | 6,021 | 2.11% | 106 | 5,968 | 1.78% | 107 | 5,937 | 1.80% | 472 | 5,613 | 8.41% | 362 | 5,303 | 6.83% | 1,047 | 5,705 | 18.35% | 1,047 | 5,705 | 18.35% |

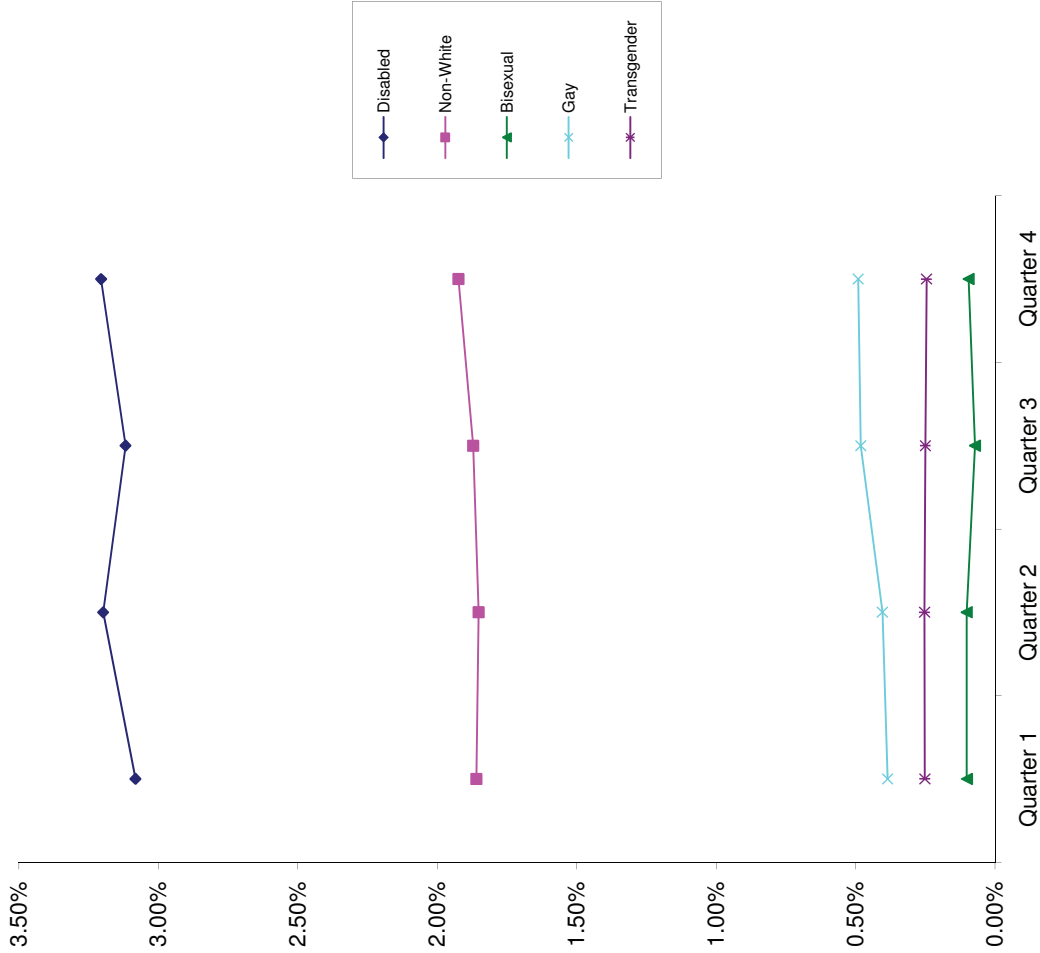
| Disability | 2009/10 Quarter 4 | | 2010-11 | | | Actual Quarter 1 | | | Actual Quarter 2 | | | Actual Quarter 3 | | | Actual Quarter 4 | | | Total | | |
|------------|-------------------|-------------|---------|-----------|--------|------------------|-----------|-------|------------------|-----------|--------|------------------|-----------|-------|------------------|-----------|--------|--------|---------------------|--------|
| | No | Workforce % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce (Average) | % |
| | 79 | 4,245 | 1.86% | 56 | 4,253 | 1.32% | 81 | 4,236 | 1.91% | 320 | 4,055 | 7.89% | 300 | 3,798 | 7.90% | 757 | 4,086 | 18.53% | 757 | 4,086 |
| 11 | 192 | 5.73% | 2 | 183 | 1.09% | 2 | 190 | 1.05% | 24 | 175 | 13.71% | 5 | 170 | 2.94% | 33 | 180 | 18.38% | 33 | 180 | 18.38% |
| 36 | 1,557 | 2.31% | 13 | 1,466 | 0.89% | 21 | 1,446 | 1.45% | 120 | 1,274 | 9.42% | 52 | 1,224 | 4.25% | 206 | 1,353 | 15.23% | 206 | 1,353 | 15.23% |
| 1 | 27 | 3.70% | 35 | 66 | 53.03% | 3 | 65 | 4.62% | 8 | 109 | 7.34% | 5 | 111 | 4.50% | 51 | 88 | 58.12% | 51 | 88 | 58.12% |
| 127 | 6,021 | 2.11% | 106 | 5,968 | 1.78% | 107 | 5,937 | 1.80% | 472 | 5,613 | 8.41% | 362 | 5,303 | 6.83% | 1,047 | 5,705 | 18.35% | 1,047 | 5,705 | 18.35% |

| Ethnicity | 2009/10 Quarter 4 | | 2010-11 | | | Actual Quarter 1 | | | Actual Quarter 2 | | | Actual Quarter 3 | | | Actual Quarter 4 | | | Total | | |
|-----------|-------------------|-------------|---------|-----------|--------|------------------|-----------|-------|------------------|-----------|-------|------------------|-----------|-------|------------------|-----------|--------|--------|---------------------|--------|
| | No | Workforce % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce (Average) | % |
| | 106 | 5,057 | 2.10% | 65 | 5,030 | 1.29% | 99 | 5,001 | 1.98% | 392 | 4,730 | 8.29% | 338 | 4,437 | 7.62% | 894 | 4,800 | 18.63% | 894 | 4,800 |
| 4 | 110 | 3.64% | 1 | 111 | 0.90% | 3 | 111 | 2.70% | 8 | 105 | 7.62% | 3 | 102 | 2.94% | 15 | 107 | 13.99% | 15 | 107 | 13.99% |
| 17 | 834 | 2.04% | 9 | 782 | 1.15% | 5 | 777 | 0.64% | 67 | 698 | 9.60% | 19 | 679 | 2.80% | 100 | 734 | 13.62% | 100 | 734 | 13.62% |
| 0 | 20 | 0.00% | 31 | 45 | 68.89% | 0 | 48 | 0.00% | 5 | 80 | 6.25% | 2 | 85 | 2.35% | 38 | 65 | 58.91% | 38 | 65 | 58.91% |
| 127 | 6,021 | 2.11% | 106 | 5,968 | 1.78% | 107 | 5,937 | 1.80% | 472 | 5,613 | 8.41% | 362 | 5,303 | 6.83% | 1,047 | 5,705 | 18.35% | 1,047 | 5,705 | 18.35% |

% of Leavers by Category



Minority Groups as % of Workforce



In Post Analysis 2010-11 (Excluding Schools)

Appendix G

| 2009/10 Quarter 4 | 2010-11 | | Actual Quarter 1 | | Actual Quarter 2 | | Actual Quarter 3 | | Actual Quarter 4 | |
|-------------------|---------|---------------------|------------------|---------|------------------|---------|------------------|---------|------------------|---------|
| | No | % | No | % | No | % | No | % | No | % |
| 3,303 | 55.65% | Permanent Full Time | 3,302 | 55.31% | 3,273 | 55.09% | 3,085 | 54.96% | 3,003 | 56.63% |
| 2,318 | 39.06% | Permanent Part Time | 2,334 | 39.10% | 2,334 | 39.29% | 2,265 | 40.35% | 2,044 | 38.54% |
| 190 | 3.20% | Permanent Job Share | 192 | 3.22% | 189 | 3.18% | 173 | 3.08% | 171 | 3.22% |
| 115 | 1.94% | Temporary Employees | 133 | 2.23% | 129 | 2.17% | 77 | 1.37% | 71 | 1.34% |
| 9 | 0.15% | Modern Apprentices | 9 | 0.15% | 16 | 0.27% | 13 | 0.23% | 14 | 0.26% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

Employment Status

| | | | | | | | | | | |
|-------|---------|--------|-------|---------|-------|---------|-------|---------|-------|---------|
| 1,909 | 32.17% | Male | 1,932 | 32.36% | 1,931 | 32.50% | 1,808 | 32.21% | 1,768 | 33.34% |
| 4,026 | 67.83% | Female | 4,038 | 67.64% | 4,010 | 67.50% | 3,805 | 67.79% | 3,535 | 66.66% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

Gender

| | | | | | | | | | | |
|-------|---------|---------------|-------|---------|-------|---------|-------|---------|-------|---------|
| 4,228 | 71.24% | Not Disabled | 4,256 | 71.29% | 4,241 | 71.39% | 4,055 | 72.24% | 3,798 | 71.62% |
| 182 | 3.07% | Disabled | 184 | 3.08% | 190 | 3.20% | 175 | 3.12% | 170 | 3.21% |
| 1,480 | 24.94% | Not Declared | 1,465 | 24.54% | 1,442 | 24.27% | 1,274 | 22.70% | 1,224 | 23.08% |
| 45 | 0.76% | Not Available | 65 | 1.09% | 68 | 1.14% | 109 | 1.94% | 111 | 2.09% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

Disability

| | | | | | | | | | | |
|-------|---------|---------------|-------|---------|-------|---------|-------|---------|-------|---------|
| 5,003 | 84.30% | White | 5,034 | 84.32% | 5,007 | 84.28% | 4,730 | 84.27% | 4,437 | 83.67% |
| 108 | 1.82% | Non-White | 111 | 1.86% | 110 | 1.85% | 105 | 1.87% | 102 | 1.92% |
| 792 | 13.34% | Not Declared | 781 | 13.08% | 776 | 13.06% | 698 | 12.44% | 679 | 12.80% |
| 32 | 0.54% | Not Available | 44 | 0.74% | 48 | 0.81% | 80 | 1.43% | 85 | 1.60% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

Ethnicity

In Post Analysis 2010-11 (Excluding Schools)

Appendix G

| 2009/10 Quarter 4 | 2010-11 | | Actual Quarter 1 | | Actual Quarter 2 | | Actual Quarter 3 | | Actual Quarter 4 | |
|-------------------|---------|-------------|------------------|---------|------------------|---------|------------------|---------|------------------|---------|
| | No | % | No | % | No | % | No | % | No | % |
| 38 | 0.64% | Age 16 - 19 | 32 | 0.54% | 31 | 0.52% | 27 | 0.48% | 26 | 0.49% |
| 602 | 10.14% | Age 20 - 29 | 610 | 10.22% | 602 | 10.13% | 585 | 10.42% | 572 | 10.79% |
| 952 | 16.04% | Age 30 - 39 | 960 | 16.08% | 947 | 15.94% | 933 | 16.62% | 891 | 16.80% |
| 1,908 | 32.15% | Age 40 - 49 | 1,889 | 31.64% | 1,875 | 31.56% | 1,816 | 32.35% | 1,727 | 32.57% |
| 965 | 16.26% | Age 50 - 54 | 991 | 16.60% | 991 | 16.68% | 985 | 17.55% | 922 | 17.39% |
| 1,267 | 21.35% | Age 55 - 63 | 1,272 | 21.31% | 1,266 | 21.31% | 1,054 | 18.78% | 965 | 18.20% |
| 57 | 0.96% | Age 64 | 64 | 1.07% | 66 | 1.11% | 64 | 1.14% | 62 | 1.17% |
| 146 | 2.46% | Age 65 Plus | 152 | 2.55% | 163 | 2.74% | 149 | 2.65% | 138 | 2.60% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

Page 90

| Sexual Orientation | Actual Quarter 1 | | Actual Quarter 2 | | Actual Quarter 3 | | Actual Quarter 4 | | | |
|--------------------|------------------|---------------|------------------|---------|------------------|---------|------------------|---------|-------|---------|
| | No | % | No | % | No | % | No | % | | |
| 6 | 0.10% | Bisexual | 6 | 0.10% | 6 | 0.10% | 4 | 0.07% | 5 | 0.09% |
| 19 | 0.32% | Gay | 23 | 0.39% | 24 | 0.40% | 27 | 0.48% | 26 | 0.49% |
| 2,231 | 37.59% | Heterosexual | 2,231 | 37.37% | 2,231 | 37.55% | 2,158 | 38.45% | 2,022 | 38.13% |
| 1,784 | 30.06% | Not Declared | 1,769 | 29.63% | 1,747 | 29.41% | 1,566 | 27.90% | 1,497 | 28.23% |
| 1,895 | 31.93% | Not Available | 1,941 | 32.51% | 1,933 | 32.54% | 1,858 | 33.10% | 1,753 | 33.06% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

Page 91

| Transgender | Actual Quarter 1 | | Actual Quarter 2 | | Actual Quarter 3 | | Actual Quarter 4 | | | |
|-------------|------------------|----------------------------|------------------|---------|------------------|---------|------------------|---------|-------|---------|
| | No | % | No | % | No | % | No | % | | |
| 2,396 | 40.37% | Gender as at Birth | 2,372 | 39.73% | 2,340 | 39.39% | 2,146 | 38.23% | 1,984 | 37.41% |
| 15 | 0.25% | Gender changed since Birth | 15 | 0.25% | 15 | 0.25% | 14 | 0.25% | 13 | 0.25% |
| 1,639 | 27.62% | Not Declared | 1,623 | 27.19% | 1,605 | 27.02% | 1,472 | 26.22% | 1,407 | 26.53% |
| 1,885 | 31.76% | Not Available | 1,960 | 32.83% | 1,981 | 33.34% | 1,981 | 35.29% | 1,899 | 35.81% |
| 5,935 | 100.00% | Total | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

In Post Analysis 2010-11 (Excluding Schools)

Appendix G

| 2009/10 Quarter 4 | | 2010-11 | | Actual Quarter 1 | | Actual Quarter 2 | | Actual Quarter 3 | | Actual Quarter 4 | |
|-------------------|---------|---------|---------|------------------|---------|------------------|---------|------------------|---------|------------------|---------|
| No | % | No | % | No | % | No | % | No | % | No | % |
| 59 | 0.99% | 61 | 1.02% | 61 | 1.03% | 62 | 1.10% | 62 | 1.10% | 62 | 1.17% |
| 100 | 1.68% | 100 | 1.68% | 97 | 1.63% | 98 | 1.75% | 98 | 1.75% | 97 | 1.83% |
| 8 | 0.13% | 8 | 0.13% | 8 | 0.13% | 5 | 0.09% | 5 | 0.09% | 5 | 0.09% |
| 1,874 | 31.58% | 1,873 | 31.37% | 1,872 | 31.51% | 1,794 | 31.96% | 1,794 | 31.96% | 1,651 | 31.13% |
| 3 | 0.05% | 3 | 0.05% | 3 | 0.05% | 3 | 0.05% | 3 | 0.05% | 3 | 0.06% |
| 48 | 0.81% | 47 | 0.79% | 47 | 0.79% | 41 | 0.73% | 41 | 0.73% | 37 | 0.70% |
| 2 | 0.03% | 2 | 0.03% | 3 | 0.05% | 3 | 0.05% | 3 | 0.05% | 3 | 0.06% |
| 6 | 0.10% | 6 | 0.10% | 6 | 0.10% | 4 | 0.07% | 4 | 0.07% | 4 | 0.08% |
| 11 | 0.19% | 11 | 0.18% | 11 | 0.19% | 13 | 0.23% | 13 | 0.23% | 13 | 0.25% |
| 10 | 0.17% | 11 | 0.18% | 11 | 0.19% | 10 | 0.18% | 10 | 0.18% | 10 | 0.19% |
| 0 | 0.00% | 0 | 0.00% | 0 | 0.00% | 0 | 0.00% | 0 | 0.00% | 0 | 0.00% |
| 281 | 4.73% | 286 | 4.79% | 290 | 4.88% | 296 | 5.27% | 296 | 5.27% | 293 | 5.53% |
| 1,641 | 27.65% | 1,623 | 27.19% | 1,602 | 26.97% | 1,429 | 25.46% | 1,429 | 25.46% | 1,374 | 25.91% |
| 1,892 | 31.88% | 1,939 | 32.48% | 1,930 | 32.49% | 1,855 | 33.05% | 1,855 | 33.05% | 1,751 | 33.02% |
| 5,935 | 100.00% | 5,970 | 100.00% | 5,941 | 100.00% | 5,613 | 100.00% | 5,613 | 100.00% | 5,303 | 100.00% |

16 eadP Religion or Belief

| Length of Service | | Less than 12 months | | 1-4 years service | | 5-9 years service | | 10-14 years service | | 15-19 years service | | 20-23 years service | | 24 years service | | Over 25 years service | | Total | |
|-------------------|---------|---------------------|---------|-------------------|---------|-------------------|---------|---------------------|---------|---------------------|--------|---------------------|--------|------------------|--------|-----------------------|--------|-------|--------|
| 239 | 4.03% | 277 | 4.64% | 259 | 4.36% | 234 | 4.17% | 205 | 3.87% | 1,166 | 19.65% | 1,122 | 18.79% | 1,046 | 17.61% | 1,024 | 18.24% | 974 | 18.37% |
| 1,276 | 21.50% | 1,274 | 21.34% | 1,316 | 22.15% | 1,289 | 22.96% | 1,261 | 23.78% | 789 | 13.29% | 821 | 13.75% | 828 | 13.94% | 800 | 14.25% | 779 | 14.69% |
| 780 | 13.14% | 744 | 12.46% | 724 | 12.19% | 669 | 11.92% | 578 | 10.90% | 877 | 14.78% | 855 | 14.32% | 845 | 14.22% | 766 | 13.65% | 698 | 13.16% |
| 132 | 2.22% | 163 | 2.73% | 188 | 3.16% | 173 | 3.08% | 154 | 2.90% | 676 | 11.39% | 714 | 11.96% | 736 | 12.39% | 658 | 11.72% | 654 | 12.33% |
| 5,935 | 100.00% | 5,970 | 100.00% | 5,942 | 100.02% | 5,613 | 100.00% | 5,303 | 100.00% | | | | | | | | | | |

Employee Interactions 2010-11 (Excluding Schools)

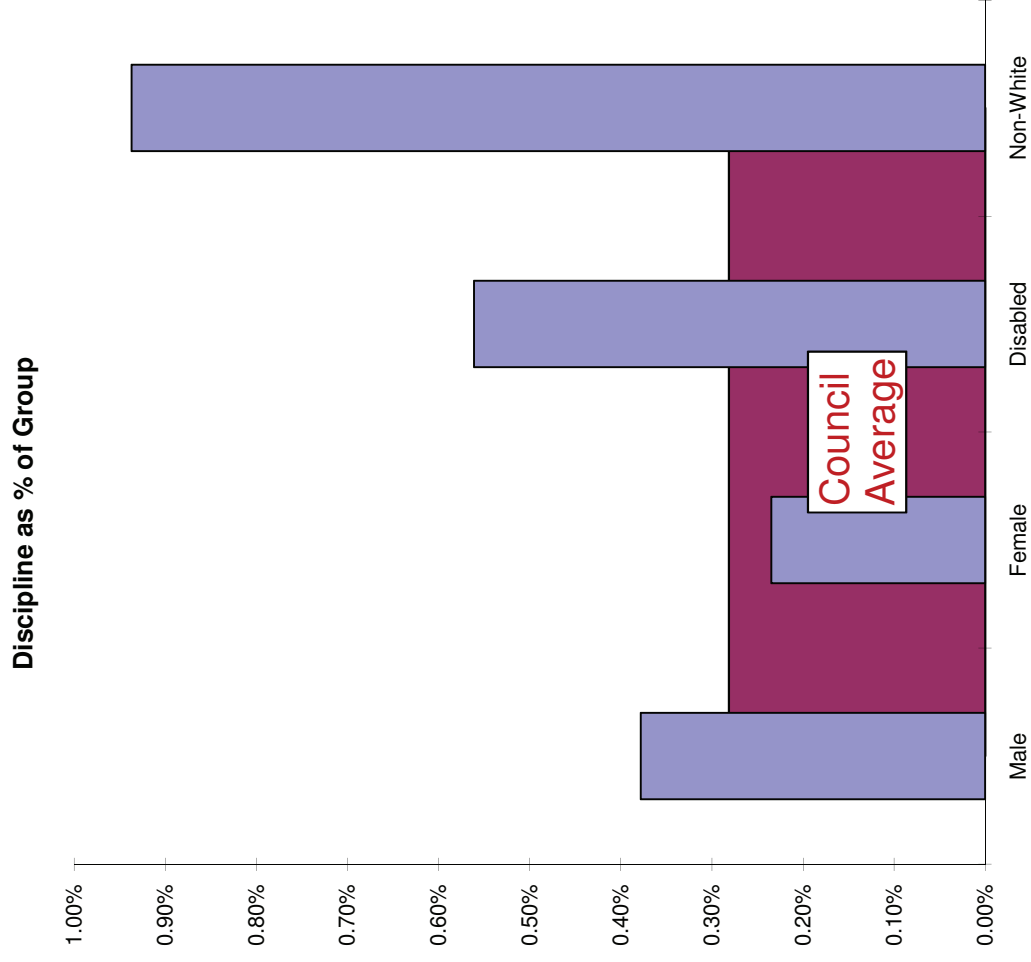
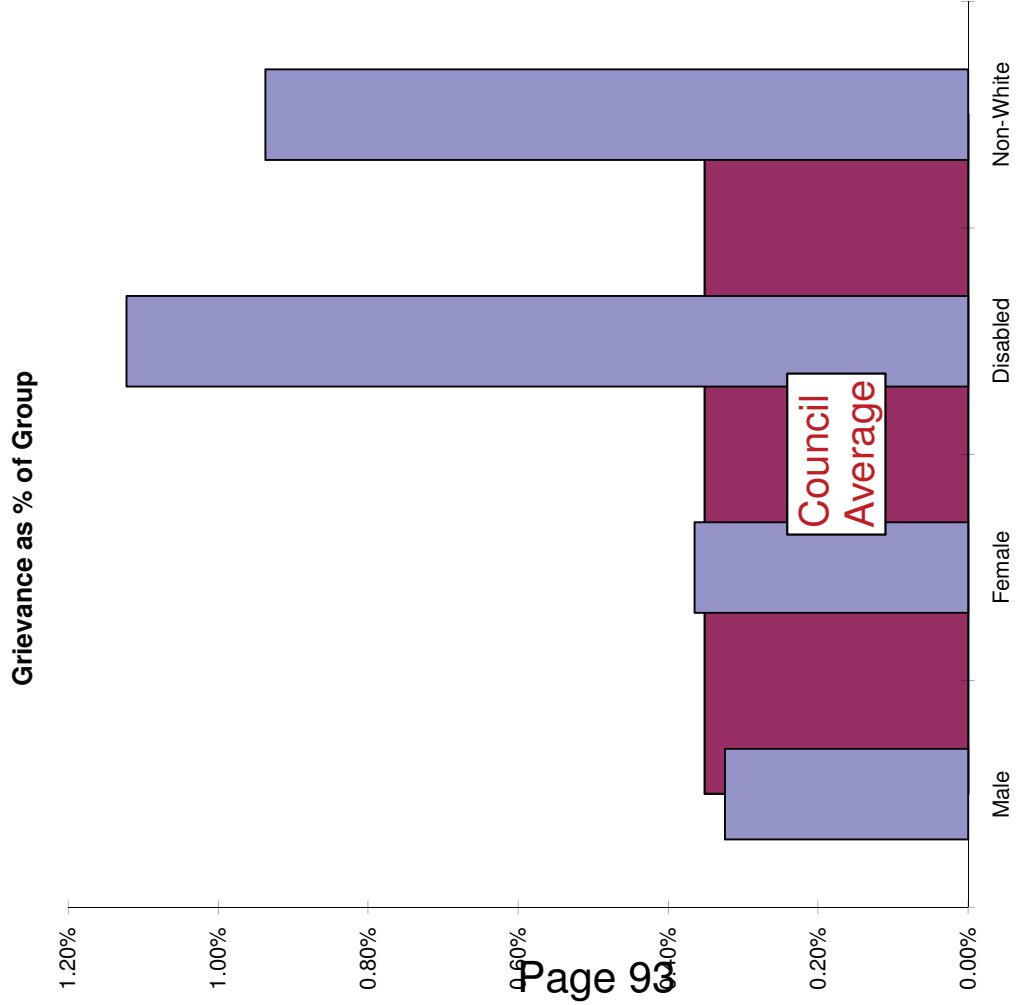
Appendix H

| | 2009/10 Quarter 4 | | Actual Quarter 1 | | | Actual Quarter 2 | | | Actual Quarter 3 | | | Actual Quarter 4 | | | Total | | | |
|-----------|-------------------|-------------|------------------|-----------|-------|------------------|-----------|-------|------------------|-----------|-------|------------------|-----------|-------|-------|---------------------|-------|-------|
| | No | Workforce % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce | % | No | Workforce (Average) | % | |
| Grievance | 1 | 1,928 | 0.05% | 2 | 1,931 | 0.10% | 3 | 1,929 | 0.16% | 1 | 1,779 | 0.06% | 0 | 1,768 | 0.00% | 6 | 1,852 | 0.32% |
| | 10 | 4,063 | 0.25% | 2 | 4,037 | 0.05% | 5 | 4,008 | 0.12% | 4 | 3,767 | 0.11% | 3 | 3,535 | 0.08% | 14 | 3,837 | 0.36% |
| | 1 | 188 | 0.53% | 0 | 183 | 0.00% | 1 | 190 | 0.53% | 1 | 170 | 0.59% | 0 | 170 | 0.00% | 2 | 178 | 1.12% |
| | 0 | 110 | 0.00% | 1 | 111 | 0.90% | 0 | 111 | 0.00% | 0 | 103 | 0.00% | 0 | 102 | 0.00% | 1 | 107 | 0.94% |
| | 11 | 5,991 | 0.18% | 4 | 5,968 | 0.07% | 8 | 5,937 | 0.13% | 5 | 5,546 | 0.09% | 3 | 5,303 | 0.06% | 20 | 5,689 | 0.35% |

| | | | | | | | | | | | | | | | | | | |
|--------------|---|-------|-------|---|-------|-------|---|-------|-------|---|-------|-------|---|-------|-------|----|-------|-------|
| Disciplinary | 2 | 1,928 | 0.10% | 4 | 1,931 | 0.21% | 1 | 1,929 | 0.05% | 1 | 1,779 | 0.06% | 1 | 1,768 | 0.06% | 7 | 1,852 | 0.38% |
| | 2 | 4,063 | 0.05% | 2 | 4,037 | 0.05% | 2 | 4,008 | 0.05% | 4 | 3,767 | 0.11% | 1 | 3,535 | 0.03% | 9 | 3,837 | 0.23% |
| | 0 | 188 | 0.00% | 0 | 183 | 0.00% | 0 | 190 | 0.00% | 1 | 170 | 0.59% | 0 | 170 | 0.00% | 1 | 178 | 0.56% |
| | 0 | 110 | 0.00% | 0 | 111 | 0.00% | 0 | 111 | 0.00% | 1 | 103 | 0.97% | 0 | 102 | 0.00% | 1 | 107 | 0.94% |
| | 4 | 5,991 | 0.07% | 6 | 5,968 | 0.10% | 3 | 5,937 | 0.05% | 5 | 5,546 | 0.09% | 2 | 5,303 | 0.04% | 16 | 5,689 | 0.28% |

Page 26

| | 2009/10 Quarter 4 | | Quarter 1 | | | Quarter 2 | | | Quarter 3 | | | Quarter 4 | | | Total | | | |
|---------------------|-------------------|-----------|-----------|-------|-----------|-----------|-------|-----------|-----------|-------|-----------|-----------|-----|-----------|--------|-------|---------------------|--------|
| | No | Workforce | Attend | No | Workforce | Attend | No | Workforce | Attend | No | Workforce | Attend | No | Workforce | Attend | No | Workforce (Average) | Attend |
| Training Attendance | 543 | 1,928 | 0.28 | 479 | 1,931 | 0.25 | 396 | 1,929 | 0.21 | 503 | 1,779 | 0.28 | 237 | 1,768 | 0.13 | 1,615 | 1,852 | 0.87 |
| | 847 | 4,063 | 0.21 | 1,599 | 4,037 | 0.40 | 1,210 | 4,008 | 0.30 | 1,719 | 3,767 | 0.46 | 563 | 3,535 | 0.16 | 5,091 | 3,837 | 1.33 |
| | 47 | 188 | 0.25 | 57 | 183 | 0.31 | 45 | 190 | 0.24 | 82 | 170 | 0.48 | 32 | 170 | 0.19 | 216 | 178 | 1.21 |
| | 18 | 110 | 0.16 | 27 | 111 | 0.24 | 25 | 111 | 0.23 | 41 | 103 | 0.40 | 22 | 102 | 0.22 | 115 | 107 | 1.08 |
| | 1,390 | 5,991 | 0.23 | 2,078 | 5,968 | 0.35 | 1,606 | 5,937 | 0.27 | 2,222 | 5,546 | 0.40 | 800 | 5,303 | 0.15 | 6,706 | 5,689 | 1.18 |



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WIRRAL COUNCIL

EMPLOYMENT AND APPOINTMENTS COMMITTEE

23 MARCH 2011

| | |
|--------------------------------------|---|
| SUBJECT: | UPDATE ON MANAGING WORKFORCE CHANGE AND REDEPLOYMENT |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | DIRECTOR OF LAW, HR AND ASSET MANAGEMENT |
| RESPONSIBLE PORTFOLIO HOLDER: | COUNCILLOR ADRIAN JONES |
| KEY DECISION? | NO |

1.0 EXECUTIVE SUMMARY

- 1.1 This report provides an update for Members in relation to the on-going management of workforce change, and outlines progress to date on the successful redeployment of employees throughout the Council.

2.0 RECOMMENDATION/S

- 2.1 That the report be noted.

3.0 REASON/S FOR RECOMMENDATION/S

- 3.1 The report is for update purposes only therefore no decisions are required.

4.0 BACKGROUND AND KEY ISSUES

- 4.1 Wirral Council's redeployment policy was first implemented in 2008, and the redeployment register was introduced to support employees who may necessitate redeployment as a result of organisational change, the end of their fixed term contract or the employee's need for alternative employment as a result of a disability. Wirral Council is committed to ensuring the effective redeployment/resolution of employees placed on the redeployment register. This report updates Members on the steps taken to redeploy or find other resolutions for those employees currently on the redeployment register.
- 4.2 To ensure effective resolution or redeployment of employees placed on the register, the HR Team liaises with Managers across Departments and service areas to ensure employees are supported and managed through effective redeployment processes as defined in the Council's employment policies.
- 4.3 The HR Team match employees against vacancies which have been approved for release, and arrange for employees to attend priority interviews and undertake trial periods in new posts in order to secure alternative employment.
- 4.4 An action plan has been developed to ensure that all employees redeployed in the future have the required skills to perform to their best ability within that role.

A 3 month development programme has been developed to support employees whilst they are on the Redeployment Register. The development programme is also currently being rolled out to existing staff on the Redeployment Register.

4.5 Employees who are placed on the Redeployment register in the future will receive details of the support programme available for them. A one to one session with a Human Resources Officer will be organised, to discuss their training requirements linked to their desired career route / aspirations. The development programme includes modules on Performance Management and Change Management. They are also invited to a workshop, to develop their skills for submitting job applications and interview preparation.

4.6 There are currently 16 employees on the redeployment register. Since the Employment and Appointments Committee in June, 2011, when there were 12 people on the register, 12 employees have been resolved as follows:

5 – Redeployed

1 – EVR/VS

1 – Appointed to new post within the Council

2 – Ill health retirement

3 – Contract extended

4.7 A further 148 employees have been redeployed as a result of the service changes agreed by the Cabinet in December 2010. The majority of these employees were from the department of Adult Social Services, and they have been redeployed within their department. Other departments included Housing Market Renewal Initiative employees who were redeployed within the Housing department in Corporate Services, and employees from the Mobile crèche service in the department of Children and Young People, who were redeployed within their department. An Equality Impact Assessment (EIA) was completed to assess the impact of the workforce redeployed as a result of the service changes agreed.

5.0 RELEVANT RISKS

5.1 There are no relevant risks.

6.0 OTHER OPTIONS CONSIDERED

6.1 None

7.0 CONSULTATION

7.1 No consultation took place in relation to this report.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1 There are no implications for voluntary, community and faith groups.

9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

9.1 The Council has achieved major efficiency savings through a supportive redeployment framework, together with the consideration of and application of EVR/VS where appropriate.

10.0 LEGAL IMPLICATIONS

10.1 There are no legal implications.

11.0 EQUALITIES IMPLICATIONS

11.1 Equality Impact Assessments were conducted on all revised workforce change policies and the impact on employees redeployed.

12.0 CARBON REDUCTION IMPLICATIONS

12.1 There are no carbon reduction implications.

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 There are no planning or community safety implications.

REPORT AUTHOR: **Susie Warwick**
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 Email: susiewarwick@wirral.gov.uk

APPENDICES

Appendix 1 - Corporate Redeployment Register Update.

REFERENCE MATERIAL

No reference material included.

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|--|---|
| Employment and Appointments Committee | This report is a regular Committee item and is reported frequently to Employments and Appointments Committee. |

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Employment and Appointments Committee 29 September 2011

Corporate Redeployment Register Update – 12 August to 9 September 2011

Number of employees on corporate redeployment register by department:

Categories are: Organisational Change –OC, Disability – DDA and Fixed Term - FT

| Department | 12/8/11 | 9/9/11 | 9/9/11 – sub totals by category | | | Months on Register | | | | | |
|-----------------------------|-----------|-----------|------------------------------------|----------|----------|--------------------|-------------|------------|-----------|-----------|-------------------|
| | | | OC | DDA | FT | 18+ | 12 to 17 | 7 to 11 | 4 to 6 | 2 to 3 | Less than 2 |
| Corporate Services | 3 | 3 | 0 | 0 | 3 | 0 | 0 | 0 | 0 | 3 | 0 |
| CYPD | 10 | 11 | 7 | 1 | 3 | 2 | 1 | 0 | 0 | 1 | 7 |
| DASS | 2 | 2 | 2 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 |
| Finance | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Law, HR and Asst Mangmnt | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Technical Services | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 16 | 16 | 9 | 1 | 6 | 3 | 1 | 1 | 0 | 4 | 7 |
| | | | Total = 16 | | | | | | | | |

The above are employees who have not yet secured an alternative permanent position

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WIRRAL COUNCIL

EMPLOYMENT AND APPOINTMENTS COMMITTEE

29 SEPTEMBER 2011

| | |
|--------------------------------------|---|
| SUBJECT: | REVENUES, BENEFITS & CUSTOMER SERVICES SENIOR STAFFING |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | DIRECTOR OF FINANCE |
| RESPONSIBLE PORTFOLIO HOLDER: | COUNCILLOR STEVE FOULKES |
| KEY DECISION? | NO. |

1. EXECUTIVE SUMMARY

- 1.1. This report recommends changes to the management of the Revenues, Benefits & Customer Services Division which now incorporates Libraries following the release of employees through early Voluntary Retirement and Voluntary Severance Scheme (EVR/VS). The vast majority of staffing changes have been agreed under delegation by the Director of Finance and Head of Human Resources as they relate to post graded up to and including spinal column point 49. Two posts require Committee approval as they are graded above point 49. No additional funding is required for these changes.

2. RECOMMENDATION

- 2.1. That Members approve the following changes to posts in the Revenues, Benefits and Customer Services Division of the Finance Department which are graded above spinal column point 49 and are to be contained within current divisional budgets;
- (a) The post of Principal Income Officer (PO3) be deleted and the post Council Tax Manager (EPO2) be retitled Revenues Manager and be graded (EPO6)
- (b) The post of Head of Customer Services (EPO2) be regraded to (EPO6) to reflect the additional duties and responsibilities of the post.

3. REASON FOR RECOMMENDATION

- 3.1. Revenues – The principal change is the retirement of the Principal Income Officer and the subsuming of the Miscellaneous Income Section into Council Tax to form the Revenues Section. Changes to the post's responsibility enabled the Principal Income Officer to leave and the post be deleted. This post reports directly the Head of Service.
- 3.2. Libraries – The Head of Libraries & Halls departure under EVR/VS, the retirement of the Principal Librarian and the ongoing merge with One Stop Shops requires a review of the senior staffing structure to manage the statutory Library Service responsibilities alongside the move of the responsibility for Halls

to the Head of Asset Management. Given the changes being made the proposal for this post will follow to this Committee.

- 3.3. Customer Services – The Customer Services Manager duties and responsibilities have changed with the addition of day to day staffing requirements at the merged Library One Stop Shop sites. The post also has Customer Service responsibility for developing those aspects of our web activity, the ongoing review and improvements to our Customer Service Standards including the corporate complaints process while the Student Support has been transferred out to the Student Loan Company as per legislation. The post reports directly the Head of Service.

4. **BACKGROUND**

- 4.1. The current need for change has come about as part of the recent EVR/VS process, the ambition to rationalise divisional management and to reflect the major changes occurring in several divisional areas.
- 4.2. The change to the Revenues side brings together most of the authority's key collection areas and now includes Council Tax, National Non Domestic Rates (or Business Rates), Sundry Debtors as well as Income section. The generally static legislative requirements in these areas has allowed us to both improve collection and our processes with reduced overall staffing levels at many levels including senior management. The breadth of knowledge and responsibility has increased for senior managers.
- 4.3. With the ongoing changes to Customer Service the role of Customer Service Manager has expanded well beyond its original remit of One Stop Shops and Cashiers. It now has responsibility for Customer Service Development, the Web and the day to day responsibility for non-professional Library staffing of the merged Library One Stop Shops. This widening of the role sees less day to day operational involvement in one stop shops which has been more than offset by the additional and more strategic responsibilities detailed.
- 4.4. The expansion of self service will see the way we engage with service users and the public change and the customer access strategy will reflect this and this post along with the Call Centre Manager will continue to have responsibility for customer service delivery within that strategy.

5. **SERVICE DEVELOPMENT, CHANGE AND FUTURE CHALLENGE**

- 5.1. The focus on all the areas detailed will be ongoing change. Revenues will see the impact of the proposed massive Housing Benefit changes being progressed under the Welfare to Work legislation which will include a different and less generous Council Tax Rebate scheme replacing the current Council Tax Benefit scheme. The proposals to localise Business Rates will not directly affect the collection process.
- 5.2. The Customer Service contacts in the future will see a large rise in self service and web contacts. The key issue will be how we balance this change along side how the authority continues to engage with those not able to access this method of contact.

5.3. Libraries face a similar challenging future with the change in how people engage with us. The investment already being made in Libraries as well as the development of co-ordinated sites with One Stop Shops present a solid base on which to develop and enhance both well regarded services alongside the new elements such as e-books.

6. **RELEVANT RISKS**

6.1. The changes agreed to the structure of the division and those proposed in this report are required to ensure the continuity of the service to the public, service users and other stakeholders.

7. **OTHER OPTIONS CONSIDERED**

7.1. None within the context of this report although in all service areas of the division we review how we deliver our services to ensure both service and staff delivering them are best able to provide efficient and effective services for Wirral.

8. **CONSULTATION**

8.1. The proposals have been agreed with the Head of Human Resources.

9. **RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

9.1. The overall restructure is agreed with Human Resources section by section and has yielded a net annual saving in excess of the additional cost for these posts. These costs can be contained within current sectional budgets and no recourse to additional funding is required.

9.2. The Customer Service Manager change is £2,514 per annum but is already within the sectional budget as this formalises the current honoraria being paid for the additional duties. The Revenues Manager post total additional annual cost is £1,714. The total cost of these changes is £4,228.

9.3. Overall commensurate savings have been made in the division including the reduced number of management posts.

9.4. There is no impact on IT and Assets arising directly from this report.

10. **LEGAL IMPLICATIONS**

10.1. There are none arising directly from this report.

11. **EQUALITIES IMPLICATIONS**

11.1. Equality Impact Assessment (EIA)
(a) Is an EIA required? No
(b) If yes has one been completed? No

12. **CARBON REDUCTION IMPLICATIONS**

12.1. None arising directly from this report.

13. PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1. None.

REPORT AUTHOR: **Malcolm Flanagan**
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Email: Malcolmflanagan@wirral.gov.uk

APPENDICES

None

REFERENCE MATERIAL

None

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|-------------------------------------|-------------------------|
| Employment & Appointments Committee | 9 June 2011 (Minute 12) |

WIRRAL COUNCIL

EMPLOYMENT AND APPOINTMENTS COMMITTEE

29TH SEPTEMBER 2011

| | |
|--------------------------------------|---|
| SUBJECT: | INWARD INVESTMENT MANAGER |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | INTERIM DIRECTOR OF CORPORATE SERVICES |
| RESPONSIBLE PORTFOLIO HOLDER: | COUNCILLOR ADRIAN JONES |
| KEY DECISION? | NO |

1.0 EXECUTIVE SUMMARY

- 1.1 This report sets out a proposal to appoint an Inward Investment Manager to carry out targeted inward investment activities, promoting Wirral as a business investment location to drive economic growth and create new jobs within the Borough.
- 1.2 It is proposed that the post will be established at grade EPO8 which will be funded from exiting resources.
- 1.3 The post will be located within the Investment Strategy team in the Corporate Services department.

2.0 RECOMMENDATION

- 2.1 Members are asked to support the appointment of the Inward Investment Manager to deliver the inward investment activities as set out in this report.

3.0 REASON FOR RECOMMENDATIONS

- 3.1 Attracting inward investment to Wirral is one of the key priorities of the Council's Investment Strategy which aims to deliver a strong, vibrant economy with high levels of investment and employment opportunities for the residents of Wirral. Significant amounts of hard work and effort by Wirral Council and its strategic partners has seen the development of several significant investment opportunities that now require promotion on an international stage. However, in order to succeed with the resources available, specific targeting is a critical part of the strategy to generate leads and secure appropriate investment.

4.0 BACKGROUND AND KEY ISSUES

- 4.1 At its 21st July 2011 meeting, Cabinet received two reports: Wirral Investment Strategy 2011-2016 (Minute 78 refers) and Targeted Inward Investment Activity (Minute 79 refers). The first report addressed a refreshed Investment Strategy, to enable the Council to effectively take forward its economic development objectives.

- 4.2 The second report addressed the need to address a series of targeted inward investment activities with the explicit aim of promoting Wirral as a business investment location to drive economic growth and create new jobs within the Borough. Cabinet agreed that the Interim Director of Corporate Services recruit an Inward Investment Manager and restructure the Investment Strategy Team to appropriately focus on the refreshed Investment Strategy objectives.
- 4.3 Wirral's Investment Strategy recognises the importance of attracting new inward investment to Wirral in order to deliver a strong and dynamic economy and provide employment opportunities for Wirral's residents.
- 4.4 In order to secure new inward investment, Wirral Council will need to work with its strategic partners to maximise the use of key resources to target specific companies in countries that are interested in the UK as an investment location and use the products and opportunities on offer to generate interest and where possible, secure investment for Wirral. Based on this, Wirral will seek to deliver inward investment activity based on the following four key principles:
1. Attract new successful businesses, particularly those in key growth sectors and matching the requirements our key investment products
 2. Promote strategies and develop technical specifications that will help provide the appropriate environment to encourage investment
 3. Link to strategies that help train, attract and retain talented, skilled and knowledgeable people in the Borough
 4. Position Wirral as a leading, vibrant global business location with a gateway to the UK and mainland Europe
- 4.5 Cabinet supported the following three stage model in its development and implementation:
- Stage One**
- 4.6 The recruitment of dedicated inward investment expertise to Wirral Council. This includes the creation of an Inward Investment Manager to the staff establishment at the Council to run the day to day operations of inward investment from within the Investment Strategy Team. The post holder will be suitably qualified and have a high degree of experience of working with investment intermediaries and developing relevant strategy. A high competence of dealing at a senior executive level of large corporate organisations will also be expected from this post holder.
- Stage Two**
- 4.7 The appointment on a retained basis of a suitably qualified UK intermediary to facilitate international promotion of Wirral's key investment opportunities. This person will call upon an international network of leads and contacts to source viable investment opportunities to target based on Wirral's key opportunities and USP's. This person would be retained in the first instance on a set number of days.

Stage 3

- 4.8 This stage will give the Council the ability to use internationally based intermediaries payable upon on the success of a.) lead generation and b.) actual inward investment secured (eg terms agreed). The exact terms are to be set and agreed in accordance with procurement rules and regulations. This will include attendance at appropriate trade fairs in line with the targeted investment activity.
- 4.9 The Investment Strategy Manager will work closely with Invest Wirral and promote Wirral under the Invest Wirral brand.

5.0 RELEVANT RISKS

- 5.1 A full risk analysis had been carried out by Wirral Officers and the business targeted approach to inward investment been designed to offer Wirral businesses the highest quality level of support.

6.0 OTHER OPTIONS CONSIDERED

- 6.1 Officers have carefully developed the proposals taking into account past experience of dealing with inward investment in Wirral and other experiences of best practice from elsewhere. The options outlined in this report have been designed to offer the maximum return on the money invested in this activity.

7.0 CONSULTATION

- 7.1 Wirral's investment strategy has been reviewed following an extensive consultation with partners. More detail is included in the Investment Strategy refresh report that has been presented to Cabinet on this agenda. Inward Investment and the attraction of new businesses to Wirral forms an essential part of this investment strategy.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

- 8.1 None arising as a direct result of this report.

9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

- 9.1 All costs associated with this creation of this post will be met within existing staff budgets.

10.0 LEGAL IMPLICATIONS

- 10.1 None

11.0 EQUALITIES IMPLICATIONS

- 11.1 None

- 11.2 Equality Impact Assessment (EIA)

- (a) Is an EIA required (no)
(b) If 'yes' has one been completed? (no)

12.0 CARBON REDUCTION IMPLICATIONS

12.1 None

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 None

REPORT AUTHOR: **Alan Evans**
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APPENDICES

Appendix A: Current Investment Strategy Structure

REFERENCE MATERIAL

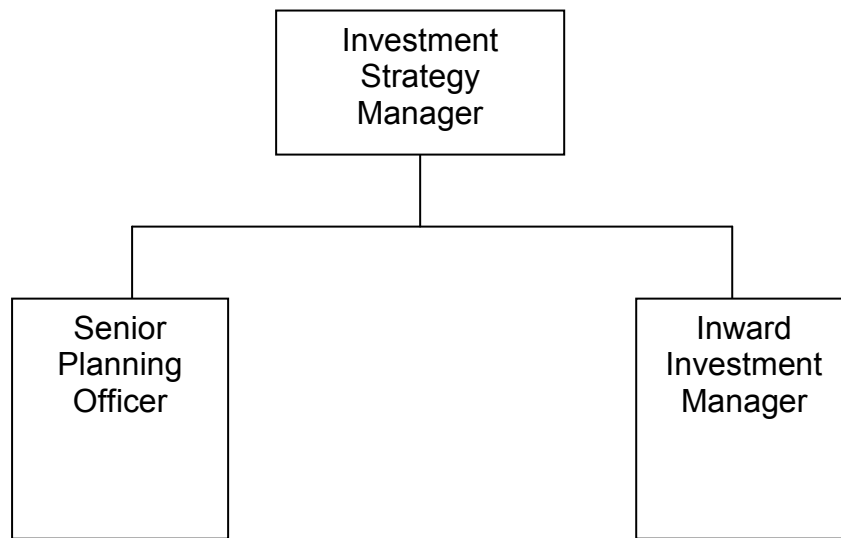
None

SUBJECT HISTORY (last 3 years)

| Council Meeting | Date |
|---|-----------------------------|
| Cabinet – Business Support Services (Minute 397) | 14 th April 2011 |
| Cabinet – Investment Support Services Framework (Minute 47) | 23rd June 2011 |
| Cabinet – Wirral Investment Strategy 2011-2016 (Minute 78) | 21 st July 2011 |
| Cabinet - Targeted Inward Investment Activity (Minute 79) | 21 st July 2011 |

Appendix A

Current Investment Strategy Structure



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WIRRAL COUNCIL

EMPLOYMENT AND APPOINTMENTS COMMITTEE

28TH SEPTEMBER 2011

| | |
|--------------------------------------|---|
| SUBJECT: | ESTABLISHMENT OF A POST OF SOCIAL ENTERPRISE MANAGER |
| WARD/S AFFECTED: | ALL |
| REPORT OF: | INTERIM DIRECTOR OF CORPORATE SERVICES |
| RESPONSIBLE PORTFOLIO HOLDER: | CLLR ADRIAN JONES |
| KEY DECISION? | NO |

1.0 EXECUTIVE SUMMARY

- 1.1 The report seeks committee approval for the creation of a new post of Social Enterprise Manager within the Corporate Services Department. The post will be established within the existing Invest Wirral structure.
- 1.2 It is proposed that the post will be established at grade PO10 (£35,430 – £38,042) which will be funded from resources secured within the budget for 2011/12.
- 1.3 The Social Enterprise Manager will be responsible for developing and managing social enterprise services which will deliver business support to new and existing social enterprise projects in the Borough.

2.0 RECOMMENDATION/S

- 2.1 That the Committee agree to the establishment of a Social Enterprise Manager post to work with existing social enterprises and to support the development of new social enterprises. The post will work closely with social entrepreneurs in forming new ventures, support existing social enterprises to identify barriers to success, develop and implement strategy and facilitate the development of core organisational infrastructure.

3.0 REASONS FOR RECOMMENDATION

- 3.1 The current estimated number of social enterprises on Wirral according to 'Guidestar' data is 160. These include Companies Limited by Guarantee, Industrial and Provident Societies and Registered Charities. These organisations are not currently receiving any business related support.
- 3.2 The establishment of this post will facilitate an increase in the number, size, and sustainability of social enterprise in Wirral. The Social Enterprise Manager will design and provide support interventions as required by social enterprise in

Wirral, encourage inter-trading, sharing of best practice and research between social enterprise and work with local, regional, national and trans-national bodies to strengthen the sector and to open up new markets.

4.0 BACKGROUND AND KEY ISSUES

- 4.1 A social enterprise can be defined as a business with primary social objectives, whose surpluses are principally reinvested for that purpose, rather than surpluses being used to maximise profit for shareholders or owners. They operate across a wide range of industries and sectors from health and social care, to renewable energy, recycling and fair trade and at all scales, from small business to large international companies.
- 4.2 It is proposed that a support mechanism be established to promote and develop a wider understanding of social enterprise and its benefits across the borough.
- 4.3 Invest Wirral will recruit one member of staff to work with existing Social Enterprises and support the development of new Social Enterprises. The Social Enterprise Development Manger will work closely with social entrepreneurs in forming new ventures, support existing social enterprises to identify barriers to success, develop and implement strategy and facilitate the development of core organisational infrastructure.
- 4.4 The Enterprise Manager will promote and develop a wider understanding of social enterprise and its benefits across the borough;
- 4.5 The Social Enterprise Manager will focus on:
 - increasing the number, size, and sustainability of social enterprise in Wirral
 - design and provision of support interventions as required by social enterprise in Wirral;
 - encourage inter-trading, sharing of best practice and research between social enterprise;
 - work with local, regional, national and trans-national bodies to strengthen the sector;
 - open up new markets
- 4.6 All support will be delivered through an Enterprise Hub in Egerton House. The hub will be a facilitator between the services of Invest Wirral and other networks/organisations/partners. Facilities will include free access to meeting rooms, hot desks and drop in clinics offering specialist advice. Four/six workshops will be arranged and run from the Hub covering Public sector procurement and commissioning, developing core organisational infrastructure, Identifying a niche and organisational review.
- 4.7 The Social Enterprise Manager will be responsible for project developing the strategy, managing the programme and building relationships with established Wirral social enterprises and will therefore require substantial business

management experience, as well as demonstrable experience of working across Council departments across a wide range of disciplines.

5.0 RELEVANT RISKS

5.1 A full risk assessment will be carried out as part of the development of a social enterprise strategy.

6.0 OTHER OPTIONS CONSIDERED

6.1 Officers have considered other options for the delivery of support to social enterprise. Whilst any actual business support will be delivered by external organisations, it was considered that there is a requirement for a full time post, working within the Invest Wirral structure to co-ordinate support for a sector in Wirral that has never received any focussed help directed towards their business activity.

7.0 CONSULTATION

7.1 The Social Enterprise Manager will undertake consultation and engagement with relevant organisations to further the development of the social enterprise strategy in the Borough.

8.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS

8.1 Dedicated support to social enterprises will have a beneficial effect within the voluntary sector in Wirral.

9.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS

9.1 It is recommended that the post be established on the grade of PO10. The cost of this proposal at the maximum of grade is £38,042 plus on-costs. Funding has been identified for Social Enterprise development on an ongoing basis from within the budget for 2011/12.

10.0 LEGAL IMPLICATIONS

10.1 None as a direct result of this report

11.0 EQUALITIES IMPLICATIONS

11.1 None arising as a result of this report.

11.2 Equality Impact Assessment (EIA)

- | | |
|---------------------------------------|----|
| (a) Is an EIA required? | No |
| (b) If 'yes', has one been completed? | No |

12.0 CARBON REDUCTION IMPLICATIONS

12.1 There are no implications under this heading.

13.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS

13.1 There are no implications under this heading.

REPORT AUTHOR: **Gemma Henry**
Project Manager
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APPENDICES

Structure Charts:

Appendix A – Current structure prior to the post

Appendix B - Proposed structure - September 2011

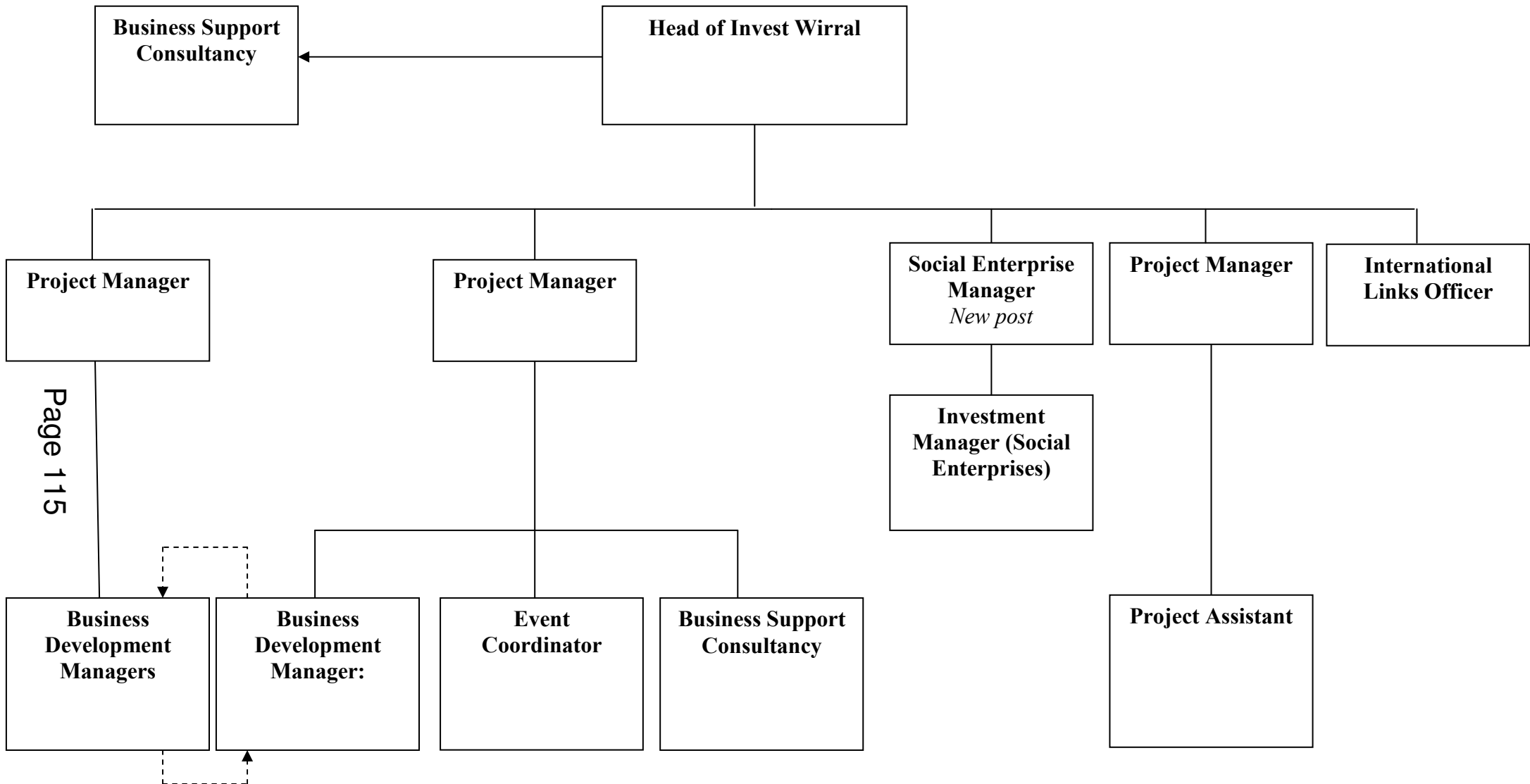
REFERENCE MATERIAL

None but further information relating to social enterprise activity within Wirral can be obtained by contacting Gemma Henry using the contact details above.

SUBJECT HISTORY (last 3 years)

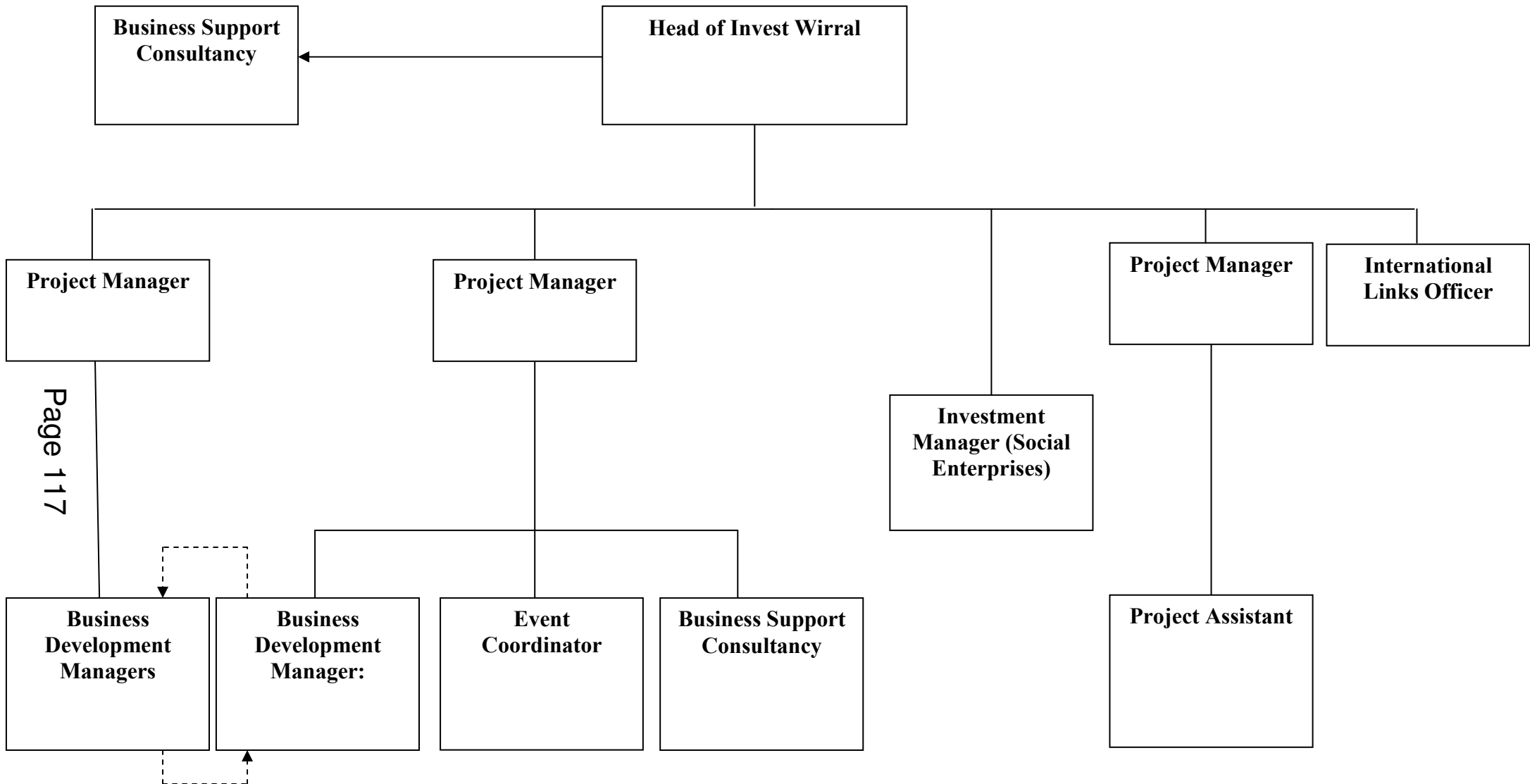
| Council Meeting | Date |
|--|--------------------------------|
| Cabinet – Council Budget 2011-12 | 21 st February 2011 |
| Cabinet – Business Support Services (Minute 397) | 14 th April 2011 |
| Cabinet – Investment Support Services Framework (Minute 47) | 23 rd June 2011 |
| Cabinet – Wirral Investment Strategy 2011-2016 (Minute 78) | 21 st July 2011 |
| Cabinet - Targeted Inward Investment Activity (Minute 79) | 21 st July 2011 |

Invest Wirral Organisational Structure



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Invest Wirral Organisational Structure



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EMPLOYMENT AND APPOINTMENTS SUB-COMMITTEE

Thursday, 14 July 2011

| | | | |
|-----------------------|-------------|-----------------------|-------------------------|
| <u>Present:</u> | Councillors | S Foulkes JE Green | M Johnston A McArdle |
| <u>In attendance:</u> | Councillors | A Jones | |
| <u>Apologies</u> | Councillors | L Rennie | |

1 APPOINTMENT OF CHAIR

On a motion by Councillor McArdle, seconded by Councillor Johnston, it was –

Resolved – That Councillor Foulkes be appointed to the Chair of this Sub-Committee.

2 MEMBERS' CODE OF CONDUCT - DECLARATIONS OF INTEREST

Members of the Committee were requested to declare whether they had an interest, either personal or prejudicial, in the item on this agenda and, if so, to declare it and state the nature of such interest.

No such declarations were made.

3 APPOINTMENT OF A PERMANENT DIRECTOR OF ADULT SOCIAL SERVICES

Further to minute 9 of the Employment and Appointments Committee (9/6/11) and the decision taken to appoint a permanent Director of Adult Social Services, the Director of Law, HR and Asset Management submitted a report on the options to be considered in the recruitment and selection process for this appointment, including, how the Council could best utilise employment consultants and a timetable for the recruitment and selection process.

The Chair commented upon the need to involve service users and user groups in the appointment process as it would be good to expose potential appointees to the post to service users and user groups.

Members also commented upon the need for a handover period between the new appointee and the Interim Director and the Head of HR and OD agreed that she would look into the options which could be available.

The Head of HR and OD stated that the CQC could not recommend any particular consultants to be used but it was suggested that an advert should be placed in the specialist social services publication, Community Care, along with other national media publications. She also commented that it would be wise in using consultants

for the search, for them to follow through in assisting with the longlisting and shortlisting too. A list of proposed consultants was circulated to the Committee.

After some discussion on the recruitment process it was then –

Resolved –

(1) That the indicative timetable for the recruitment process be agreed and the Head of HR and OD come back to the Sub-Committee Members with some specific dates.

(2) That the Job Description, Person Specification, advert design and placement be delegated to the Chief Executive, Head of HR and OD and the Interim Director of Adult Social Services in full consultation with the three party spokespersons.

(3) That the choice of consultants and the extent of their use be delegated to the Chief Executive and Head of HR and OD in full consultation with the three party spokespersons. That the requirements of the consultants would be to look at innovative ways of attracting and selecting a range of candidates for the role.

(4) That the Head of HR and OD arrange training for Members on interview techniques in advance of the selection days.

APPEALS SUB-COMMITTEE

Thursday, 9 June 2011

Present: Councillors G Davies D Roberts
M Johnston

1 APPOINTMENT OF CHAIR

On a motion by Councillor Johnston, seconded by Councillor Roberts, it was –

Resolved – That Councillor G Davies take the Chair for this meeting.

2 EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC

Resolved - That, under section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following item of business on the grounds that it involves the likely disclosure of exempt information as defined by paragraph 1 of Part I of Schedule 12A (as amended) to that Act.

3 DISMISSAL APPEAL

The Sub-Committee convened to consider the appeal by an employee in the Adult Social Services Department against the decision of the Interim Director of Adult Social Services to dismiss her from her current post. The appellant was represented by Mr Bradfield of UNISON.

Resolved - That, having considered carefully all the evidence, the Appeals Sub-Committee upholds the appeal and the appellant be reinstated in her post with effect from 11 April, 2011.

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APPEALS SUB-COMMITTEE

Thursday, 16 June 2011

Present:

Councillors M Johnston
D Mitchell

B Mooney

4 APPOINTMENT OF CHAIR

On a motion by Councillor Mitchell, seconded by Councillor Mooney, it was –

Resolved – That Councillor M Johnston take the Chair for this meeting.

5 EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC

Resolved - That, under section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following item of business on the grounds that it involves the likely disclosure of exempt information as defined by paragraph 1 of Part I of Schedule 12A (as amended) to that Act. The public interest test has been applied and favours exclusion.

6 DISMISSAL APPEAL

The Sub-Committee convened to consider the appeal by an employee in the Adult Social Services Department against the decision of the Interim Head of Care Services to dismiss her from her current post. The appellant was represented by Mr Bradfield of UNISON.

Resolved - That, having considered carefully all the evidence, the Appeals Sub-Committee upholds the decision of the Head of Care Services to dismiss the appellant from her post for gross misconduct.

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APPEALS SUB-COMMITTEE

Tuesday, 26 July 2011

Present: Councillors A Bridson G Davies
S Clarke

7 APPOINTMENT OF CHAIR

On a motion by Councillor Clarke, seconded by Councillor Bridson, it was –

Resolved – That Councillor G Davies take the Chair for this meeting.

8 EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC

Resolved - That, under section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following item of business on the grounds that it involves the likely disclosure of exempt information as defined by paragraph 1 of Part I of Schedule 12A (as amended) to that Act. The public interest test has been applied and favours exclusion.

9 DISMISSAL APPEAL

The Sub-Committee convened to consider the appeal by an employee in the Adult Social Services Department against the decision of the Interim Head of Care Services to dismiss her from her current post. The appellant was accompanied by her husband.

Resolved - That, having considered carefully all the evidence, the Appeals Sub-Committee upholds the decision of the Head of Care Services to dismiss the appellant from her post for gross misconduct.

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APPEALS SUB-COMMITTEE

Tuesday, 9 August 2011

Present: Councillors A Bridson D Roberts
G Ellis

10 APPOINTMENT OF CHAIR

On a motion by Councillor Roberts, seconded by Councillor Bridson, it was –

Resolved – That Councillor G Ellis take the Chair for this meeting.

11 EXEMPT INFORMATION - EXCLUSION OF MEMBERS OF THE PUBLIC

Resolved - That, under section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following item of business on the grounds that it involves the likely disclosure of exempt information as defined by paragraph 1 of Part I of Schedule 12A (as amended) to that Act. The public interest test has been applied and favours exclusion.

12 DISMISSAL APPEAL

The Sub-Committee convened to consider the appeal by an employee in the Technical Services Department against the decision of the Director to dismiss him from his current post. The appellant was represented by Ms Walsh of UNISON.

Resolved - That, having considered carefully all the evidence, the Appeals Sub-Committee upholds the decision of the Director of Technical Services to dismiss the appellant from his post for gross misconduct.

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