

Public Document Pack



South Northamptonshire Council

Committee: Joint Commissioning Committee

Date: Thursday 14 January 2016

Time: 6.30 pm, or on the rising of the Joint Councils
Employee Engagement Committee, whichever is later

Venue: The Forum, Moat Lane, Towcester, NN12 6AD

Membership

Councillor Ian McCord (Chairman)
Councillor Ken Attack
Councillor Lizzy Bowen
Councillor Roger Clarke
Councillor Lynn Pratt
Councillor Barry Richards

Councillor Nicholas Turner (Vice-Chairman)
Councillor Phil Bignell
Councillor Rebecca Breese
Councillor Chris Lofts
Councillor G A Reynolds
Councillor Barry Wood

AGENDA

1. Apologies for Absence and Notification of Substitutes

2. Declarations of Interest

Members are asked to declare any interest and the nature of that interest that they may have in any of the items under consideration at this meeting.

3. Petitions and Requests to Address the Meeting

The Chairman to report on any requests to submit petitions or to address the meeting.

Cherwell District Council
Bodicote House
Bodicote
Banbury
Oxfordshire
OX15 4AA

South Northamptonshire Council
The Forum
Moat Lane
Towcester
Northamptonshire
NN12 6AD

www.cherwell.gov.uk

www.southnorthants.gov.uk

4. Chairman's Announcements

To receive communications from the Chairman.

5. Minutes (Pages 1 - 4)

To confirm as a correct record the Minutes of the meeting held on 18 December 2015.

6. Urgent Business

The Chairman to advise whether they have agreed to any item or urgent business being admitted to the agenda.

7. Exclusion of the Public and Press

The following items of business contain exempt information as defined in the following paragraphs of Part 1, Schedule 12A of Local Government Act 1972.

1 - Information relating to any individual

2 - Information which is likely to reveal the identity of an individual

3 - Information relating to the financial or business affairs of any particular person (including the authority holding that information)

4 - Information relating to any consultations or negotiations, or contemplated negotiations, in connection with any labour matters arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority

Members are reminded that whilst the following items have been marked as exempt, it is for the meeting to decide whether or not to consider each of them in private or in public. In making the decision, members should balance the interests of individuals or the Council itself in having access to the information. In considering their discretion members should also be mindful of the advice of Council Officers.

Should Members decide not to make a decision in public, they are recommended to pass the following recommendation:

“That, in accordance with Section 100A(4) of Local Government Act 1972, the press and public be excluded from the meeting for the following items of business, on the grounds that they could involve the likely disclosure of exempt information as defined in paragraphs 1, 2, 3 and 4 of Schedule 12A of that Act.”

8. Shortlisting for the Director Vacancies

** This report will be circulated under separate cover to members of the Joint Commissioning Committee only **

Exempt Report of Chief Executive

9. Re-admittance of the Public and Press

The Committee to resolve to re-admit the public and press.

10. Incremental Progression and Appraisal Policies Interim arrangements for 2016/2017 (Pages 5 - 30)

Report of Head of Transformation

Purpose of report

To recommend an interim approach to manage the performance appraisals and incremental progression of all mainstream staff (excluding JMT) in the performance year 2016 – 2017 only and in doing so support the roll out of the new corporate competency framework as approved by both Councils in 2015.

Recommendations

The meeting is recommended to:

- 1.1 Approve the updated interim Performance Appraisal Policy (Appendix 1).
- 1.2 Approve the new interim Incremental Progression Policy (Appendix 2) for implementation, in support of the corporate competency framework during 2016/17.

11. Proposal for a Joint Stand-by and On-Call Policy and Allowance (Pages 31 - 38)

Report of Head of Transformation

Purpose of report

To seek approval to implement a shared Stand-by and On-call policy and associated allowances for Cherwell District Council and South Northamptonshire Council.

Recommendations

The meeting is recommended:

- 1.1 To approve the shared stand-by and on-call policy and associated allowances (Appendix 1).

12. **A Business Case for a Joint Customer Service Team** (Pages 39 - 46)

Director of Operational Delivery

Purpose of report

This report presents the final business case following consultation for a joint Customer Service team across Cherwell District and South Northamptonshire Councils (hereafter “Cherwell” or “CDC” and “South Northamptonshire” or “SNC” respectively).

The report recommends the formation of a two way joint Customer Service team and in doing so seeks the Joint Commissioning Committee’s agreement for the staffing elements of the business case.

The proposal is part of the wider transformation programme across the two Councils.

Recommendations

The meeting is recommended:

- 1.1 To consider the responses to the consultation process with the affected staff and trade union representatives received as detailed in the consultation log (attached as exempt Appendix 2) and from the Joint Councils Employee Engagement Committee (to be reported verbally), and determine whether any amendment to the business case is required as a result of them.
- 1.2 To note that the business case will be considered in respect of non-staffing matters by CDC Executive on 1 February 2016 and by SNC Cabinet on 8 February 2016.
- 1.3 To approve the staffing aspects of the final business case to share a joint Customer Service between SNC and CDC (exempt appendix 1), including determination of the voluntary redundancy request referred to in paragraph 6.5 and exempt Appendix 3, subject to consideration and approval of the non-staffing implications by CDC Executive and SNC Cabinet.
- 1.4 To delegate authority to the Director of Operational Delivery in consultation with the Chairman of the Joint Commissioning Committee to make any non-significant amendments that may be required to the business case following the decision by CDC Executive and/or SNC Cabinet.

13. **A Business Case for a Joint Public Protection Service** (Pages 47 - 54)

Report of Director of Operational Delivery

Purpose of report

This report presents the final business case following consultation for a Joint Public Protection Service across Cherwell District and South Northamptonshire Councils

(hereafter “Cherwell” or “CDC” and “South Northamptonshire” or “SNC” respectively).

The report recommends the formation of a two way Joint Public Protection Service and in doing so, seeks the Joint Commissioning Committee’s agreement to the staffing elements of the business case.

The proposal is part of the wider transformation programme across the two Councils.

Recommendations

The meeting is recommended:

- 1.1 To consider the responses to the consultation process with the affected staff and trade union representatives received as detailed in the consultation log (exempt appendix 2) and from the Joint Councils Employee Engagement Committee (updated verbally) and to determine whether any amendment to the business case is required as a result of them.
- 1.2 To note that the business case will be considered in respect of non-staffing matters by CDC Executive on 1 February 2016 and by SNC Cabinet on 8 February 2016.
- 1.3 To approve the staffing aspects of the final business case (exempt appendix 1) to share a joint Public Protection Service between SNC and CDC including the approach taken to redundancies, subject to consideration and approval of the non-staffing implications by CDC Executive and SNC Cabinet.
- 1.4 To delegate to the Director of Operational Delivery in consultation with the Chairman of the Joint Commissioning Committee any non-significant amendment that may be required to the business case following the decision by CDC Executive and/or SNC Cabinet.

14. Exclusion of the Press and Public

The following items of business contain exempt information as defined in the following paragraphs of Part 1, Schedule 12A of Local Government Act 1972.

1 - Information relating to any individual

2 - Information which is likely to reveal the identity of an individual

3 - Information relating to the financial or business affairs of any particular person (including the authority holding that information)

4 - Information relating to any consultations or negotiations, or contemplated negotiations, in connection with any labour matters arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority

Members are reminded that whilst the following items have been marked as exempt, it is for the meeting to decide whether or not to consider each of them in private or in public. In making the decision, members should balance the interests of individuals or the Council itself in having access to the information. In considering their discretion members should also be mindful of the advice of Council Officers.

Should Members decide not to make a decision in public, they are recommended to pass the following recommendation:

“That, in accordance with Section 100A(4) of Local Government Act 1972, the press and public be excluded from the meeting for the following items of business, on the grounds that they could involve the likely disclosure of exempt information as defined in paragraphs 1, 2, 3 and 4 of Schedule 12A of that Act.”

15. **A Business Case for a Joint Customer Service Team - Exempt Appendices**
(Pages 55 - 96)

16. **A Business Case for a Joint Public Protection Service - Exempt Appendices**
(Pages 97 - 132)

Information about this Meeting

The agenda, reports and associated documents for the above meeting are available at the offices and websites of Cherwell District Council and South Northamptonshire Council at the addresses and websites set out on the agenda front sheet.

Apologies for Absence

Apologies for absence should be notified to natasha.clark@cherwellandsouthnorthants.gov.uk or 01295 221589 prior to the start of the meeting.

Declarations of Interest

Members are asked to declare interests at item 2 on the agenda or if arriving after the start of the meeting, at the start of the relevant agenda item.

Local Government and Finance Act 1992 – Budget Setting, Contracts & Supplementary Estimates

Members are reminded that any member who is two months in arrears with Council Tax must declare the fact and may speak but not vote on any decision which involves budget setting, extending or agreeing contracts or incurring expenditure not provided for in the agreed budget for a given year and could affect calculations on the level of Council Tax.

Evacuation Procedure

When the alarm sounds you must evacuate the building by the nearest available fire exit. Members and visitors should proceed to the assembly point as directed by Democratic Services staff and await further instructions.

Access to Meetings

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named below, giving as much notice as possible before the meeting.

Mobile Phones

Please ensure that any device is switched to silent operation or switched off.

Queries Regarding this Agenda

Please contact Natasha Clark, Democratic and Elections
natasha.clark@cherwellandsouthnorthants.gov.uk, 01295 221589

Sue Smith
Chief Executive

Published on Wednesday 6 January 2016

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Agenda Item 5

Cherwell District Council and South Northamptonshire Council

Joint Commissioning Committee

Minutes of a meeting of the Joint Commissioning Committee held at The Forum, Moat Lane, Towcester, NN12 6AD, on 18 December 2015 at 10.00 am

Present: Councillor Ian McCord (Chairman)
Councillor Nicholas Turner (Vice-Chairman)

Councillor Ken Atack
Councillor Phil Bignell
Councillor Lizzy Bowen
Councillor Rebecca Breese
Councillor Chris Lofts
Councillor Lynn Pratt
Councillor G A Reynolds
Councillor Barry Richards
Councillor Barry Wood

Also Present: Lesley Shore, West Midlands Employers
Anna Jay, Berwick Partners

Apologies for absence: Councillor Roger Clarke

Officers: Sue Smith, Chief Executive
Ian Davies, Director of Operational Delivery
Natasha Clark, Team Leader, Democratic and Elections

52 **Declarations of Interest**

There were no declarations of interest.

53 **Petitions and Requests to Address the Meeting**

There were no petitions or requests to address the meeting.

54 **Chairman's Announcements**

There were no Chairman's announcements.

55 **Minutes**

The Minutes of the meeting of the Committee held on 16 November 2015 were agreed as a correct record and signed by the Chairman.

56 **Urgent Business**

There were no items of urgent business.

57 **Exclusion of the Public and Press**

Resolved

That, in accordance with Section 100A(4) of Local Government Act 1972, the press and public be excluded from the meeting for the following items of business, on the grounds that they could involve the likely disclosure of exempt information as defined in paragraphs 1, 2, 3 and 4 of Schedule 12A of that Act.

58 **Update on the Management Restructure**

The Chief Executive submitted an exempt report which updated members on the management restructure.

The Chief Executive introduced Lesley Shore, West Midlands Employers, who was providing her with external, independent HR support and Anna Jay, Berwick Partners, the recruitment consultants carrying out the recruitment for the management restructure on behalf of the councils.

Resolved

- (1) That the progress being made on the implementation of the first phase of the management restructure be noted.
- (2) As set out in the exempt Minutes.

59 **Long-listing of Applications for the Posts of Shared Directors**

Members considered the applications that had been received for the posts of Director – Commercial Development and Director – Strategy and Commissioning together with the comments from Berwick Partners.

Resolved

- (1) That based on their merit, all candidates rated “A” and one candidate rated “B” as set out in the exempt Minutes should proceed to the long listing stage for the post of Director - Commercial Development.
- (2) That based on their merit, all candidates rated “A” and 6 candidates rated “B” as set out in the exempt Minutes should proceed to the long listing stage for the post of Director – Strategy and Commissioning.

Joint Commissioning Committee - 18 December 2015

The meeting ended at 10.55 am

Chairman:

Date:

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South Northamptonshire Council and Cherwell District Council

Joint Commissioning Committee

14 January 2016

<p>Incremental Progression and Appraisal Policies Interim arrangements for 2016/2017</p>
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Report of Head of Transformation

This report is public

Purpose of report

To recommend an interim approach to manage the performance appraisals and incremental progression of all mainstream staff (excluding JMT) in the performance year 2016 – 2017 only and in doing so support the roll out of the new corporate competency framework as approved by both Councils in 2015.

1.0 Recommendations

The meeting is recommended to:

- 1.1 Approve the updated interim Performance Appraisal Policy (Appendix 1).
- 1.2 Approve the new interim Incremental Progression Policy (Appendix 2) for implementation, in support of the corporate competency framework during 2016/17.

2.0 Introduction

- 2.1 Following the adoption of a Business Case for Joint Working by CDC and SNC in February 2015, Organisational Development was included as a transformation programme workstream. The objectives of this workstream are focused around ensuring the Councils have a workforce that is able to deliver the Councils' strategic objectives and meet the challenges facing the sector in the long term.
- 2.2 The first major piece of work to be undertaken within this workstream has been the development of a new corporate competency framework. This framework sets out a series of behavioural competencies for the workforce which reflect the future working requirements of both councils.
- 2.3 The new corporate competency framework was approved by JCEEC and JCC in July 2015, and as a result work has now commenced on reviewing HR policies to complement the new framework and ensure both Councils gain maximum benefit

from it over the next 3 years, as we begin to implement the new confederation operating model.

2.4 The performance year 2016/17 will be a transitional year where staff can start to understand and use the new corporate competency framework. Staff already use the old competency framework as part of appraisals however it is proposed that the new competency framework will not be directly replaced in the appraisal process i.e. old for new but that staff will be required to self-assess against role profiles developed for each role which will allow them to use the framework. This will become an objective for all staff during the 2016/17 appraisal year.

2.5 **Role Competency Profiles**

2.6 Each job (including all JMT roles) across the two councils is currently being profiled against the new corporate competency framework.

2.7 The role profiling will provide a description of the different levels each role is required to perform at within the new corporate competency framework, whilst also helping employees and their managers to recognise the skills gaps that currently exist and to put development plans in place to address those gaps in a positive way. An example of what a role competency profile will look like is attached at Appendix 3.

2.8 Staff will receive role competency profiles in June 2016 for the posts they occupy and will be invited to self-assess against the profile ahead of mid-year appraisals (July – end September 2016).

2.9 The intention is to carry out self-assessment (i.e. each staff member will be able to undertake an online self-assessment against the framework), where feasible, in order to identify areas for personal development and to aid workforce planning.

2.10 **Incremental progression through salary grades**

2.11 The current appraisal process includes assessment against the achievement of performance objectives and the old suite of competencies.

2.12 Currently, for CDC employees, an average score of 2.5 or above results in an incremental step through the salary grade.

2.13 For SNC employees, whilst the scoring of performance objectives is also carried out, the results are not averaged to determine incremental progression through the pay grade. Instead, SNC employees who are paid below the maximum of the salary grade receive an automatic increment yearly, unless it has been withheld for reasons such as a disciplinary sanction.

2.14 In order to ensure fairness and consistency across both Councils and especially within shared teams it is recommended that incremental pay progression should now apply in the same way to all mainstream staff, and that the current CDC model be adopted at SNC. This excludes Members of JMT whose pay increments are determined following appraisal with agreement of the Chief Executive in consultation with the Leaders of both Councils.

3.0 Report Details

- 3.1 The existing performance assessment methodology is not appropriate for deployment in the 2016/17 appraisal year given the new corporate competency framework has been now been adopted, and the old competencies remain in the current appraisal policy. There are also two additional issues that need to be considered when proposing changes to the current policies.
- 3.2 Firstly it would be unfair to use the new corporate competency framework at the 2017 year end to determine pay progression within current salary grades as the role competencies profiling project work will not be completed and shared with staff until June 2016. For some this would amount to four months following the setting of their annual performance objectives and agreement of personal training plans (i.e. not a full performance year).
- 3.3 Secondly, because we want to encourage employees to positively engage with the new corporate competency framework and associated role profiling and assess their development against it in an honest and open way, and ultimately help build their confidence in the framework and the wider strategic transformation programme.
- 3.4 The new corporate competency framework is deliberately stretching. Consequently we expect to identify gaps in terms of the competencies we need in the longer term and the competencies we have in our workforce now. Identification of these gaps is essential to effective organisational development, training and workforce planning. For this reason the focus of the corporate competency framework must be upon employee development at the outset and not assessment or the regulatory aspects of performance management, and particularly not pay (at this stage). In the longer term we will need a rewards and recognition strategy that does not disincentivise staff who identify gaps in their performance and who are prepared to address them.
- 3.5 In order to achieve this it has been considered important to review both the Performance Appraisal Policy and the Incremental Progression Policy, with a view to providing interim arrangements for the 2016/17 year only so that a full review of reward and recognition can take place at the same time.

The Performance Appraisal Policy is already a shared policy and the draft policy has been updated as detailed below:

- To assess against achievement of performance objectives only in the performance year 2016/17 and reference to the old competency framework is removed.
- To embed the principle of personal development plans and responsibility for personal development being a core competency.
- It is also proposed that three additional “core” performance objectives will apply to every employee (including JMT). These include:
 - To have carried out a self-assessment against the new corporate Competency Framework to *identify* development areas (fully achieved).

- To have agreed a personal development plan (PDP) including any developmental areas identified as part of the self-assessment, as well as professional or technical training/development requirements (fully achieved). This does not mean that development will have taken place.
- Mandatory training and corporate requirements (e.g. Data protection e-learning certificate, employee code of conduct form submitted and up to date, proof of business use car insurance where relevant) have been met within the required timescale.

3.6 Incremental Progression in 2016/17

In the performance year 2016/17 all mainstream employees (CDC and SNC), except members of the Joint Management Team, will progress through their salary grade by one increment in April 2017 if they have achieved an average performance score of 2.5 or above, have also completed the three standard objectives as stated in 3.5 above. Incremental progression is also subject to two additional key principles, notably; i) that there is enough “headroom” within a salary grade to actually progress. If the employee has already reached the maximum point of the salary grade no further pay progression takes place within that role, or ii) that the employee does not occupy a career graded post

- 3.7 At present all staff are assessed against the old competency framework. Reference to the old competency framework will be removed from the policy and process for appraisals, and it will not be used for incremental progression within the proposed interim shared Incremental Progression Policy for 2016/17 performance year. However it is deemed important to ensure both policies are equally applied across both Councils, and the draft policies are now fully shared.

3.8 Training

To ensure effective implementation of the new corporate competency framework, along with changes to both appraisals and incremental progression policies, if approved during the democratic process, training will be provided for all line managers in January / February 2016. Further specific training will also take place for all staff during April / May 2016, prior to the role profiles being sent out to them and prior to the implementation of any electronic system being used for self-assessment.

4.0 Conclusion and Reasons for Recommendations

- 4.1 Each Council currently uses a competency framework for limited reasons, mainly linked to performance through appraisals; however this is based on the old competency framework. Consequently the appraisal process needs to be reviewed and updated to enable the new corporate competency framework to be rolled out and offer a more balanced approach to performance and employee development, which, when combined together, can offer significant organisational benefits and growth..
- 4.2 In order to give enough training, support and encouragement to staff to be honest in their self-assessment against the new role profiles, it is perceived to be necessary to remove the old competencies for the 2016/17 appraisal year. This will enable

staff to use and become familiar with the new corporate competencies prior to being assessed against them at some future point in time.

- 4.3 With changing the Performance Appraisal Policy it also important to review the Incremental Progression Policy to support both the corporate competency framework roll out and the need to continue to harmonise HR policies across both Councils.
- 4.4 Building and implementing a competency framework that is based on the future skills, attitudes and behaviours of all staff will also support a change in organisational culture as we move towards the new confederation operating model, whilst also ensuring that better outcomes are achieved for both Districts. Without this such changes will be more difficult to achieve.

5.0 Consultation

The following stakeholders have been consulted during the development of these interim arrangements:

Unison – SNC	Positive feedback given with a few changes that have all been included.
Unison - CDC	Positive feedback given with very few changes.
Staff Consultation Group – CDC	Positive feedback given with a few changes and requests for training and effective communication during the roll out.
JMT	Positive feedback given with a handful of changes mainly linked to word meanings and clarity around the link to the competency framework for incremental progression.
Managers at CDC and SNC	Very limited feedback given.
JCEEC (14 January 2016)	Verbal update will be given as the committee is on the same day as JCC.

6.0 Alternative Options and Reasons for Rejection

- 6.1 The following alternative options have been identified and rejected for the reasons as set out below.

Option 1: Retain the current policies which would not support the future changes required by both Councils.

7.0 Implications

Financial and Resource Implications

- 7.1 There are no financial implications arising directly from this report. Incremental progression is already funded as part of budget setting process and there is unlikely to be any increase in costs as a result of these policies. If agreed resources will be required to ensure that the new/updated policies are rolled out effectively for both Councils. This can be met from within existing budgets.

Comments checked by: Paul Sutton, Head of Finance and Procurement,
03000 030106, paul.sutton@cherrywellandsouthnorthants.gov.uk

Legal Implications

7.2 There are no legal implications arising from this report.

Comments checked by: James Doble, Democratic and Elections Manager,
01295 221587, james.doble@cherwellandsouthnorthants.gov.uk

Document Information

Appendix No	Title
1.	Draft Performance Appraisal Policy (interim arrangements for 2016/17)
2.	Draft Incremental Progression Policy (interim arrangements for 2016/17)
3.	Example Role Competency Profile
Background Papers	
None	
Report Authors	Paula Goodwin, Shared HR and OD Manager
Contact Information	Tel: 01295 221735 paula.goodwin@cherwellandsouthnorthants.gov.uk



DRAFT POLICY AND GUIDANCE 2016/2017 Appraisal Year Only

Performance Appraisal and Learning and Development Review

1. Getting Started

This guide is for ALL Cherwell District Council and South Northamptonshire Council employees, permanent or temporary. It gives you the information and tools you need to make the most of the performance appraisal discussion. Each section focuses on a different stage of the performance appraisal.

2. What is a Performance Appraisal?

Performance appraisal is a two way discussion; when carried out well, it actively involves employees, helping them to understand what is expected of them. By setting agreed objectives and regularly reviewing progress, employees become responsible for their own performance. The process should be used to enable positive engagement between an employee and their manager to improve performance and provide appropriate support. It involves the following:

- Recognising achievements
- Considering development needs
- Monitoring and reviewing performance
- Setting clear objectives
- Reviewing achievement against objectives

The process should be robust, honest and fair, remembering that performance reviews should reflect all levels of performance, both good and poor. The process is formal and, is likely to be audited on a regular basis to ensure the process is utilised appropriately.

The key elements are an annual (end of year review and target setting for the new appraisal year) and a six monthly -mid-year review, combined with other more informal discussions such as one to one meetings, and team meetings.

There should be no surprises at the end of year review as performance monitoring should be a regular activity for managers, and performance should be reviewed throughout the year at appropriate times, and dealt with in accordance with all informal and formal mechanisms. Development should also be done in the same way.

Performance appraisal will be a key element in ensuring that:

- The Council's overall aims and objectives are translated into employee activities;
- The impact of organisational change is managed at a personal level;
- Every employee understands clearly what their role is and what they are expected to achieve;

- Personal development needs are identified;
- There is an opportunity for employees to discuss issues that prevent them from doing their job;
- There is a clear mechanism for all employees to suggest innovation, improvement and development of their role ;
- In addition to continuous feedback during the year, all employees also receive detailed feedback on their performance;
- The corporate learning & development plan is properly informed.

3. Who Should have an Appraisal?

Every employee at both Councils should receive a performance appraisal, which includes a mid-year review. Agency employees should have a meeting to ensure that targets are set and monitored even if no formal appraisal review takes place. New employees on probation will receive an appraisal during their first month of employment. With the increase in partnership and shared working, some team members may not be employed by either Cherwell or South Northamptonshire and therefore it is important to ensure that as a manager, performance is reviewed regularly and feedback is given to the employing agency.

4. Maternity/Sickness Absence/Other Family Leave

There may be occasions when the performance appraisal needs to be deferred. For example, if someone has recently returned from maternity leave and there is insufficient information about their performance to conduct a meaningful discussion. This does not mean that the discussion should never happen, but a new date arranged. Should there be any entitlement to incremental progression this will be dealt with following the performance appraisal taking place.

5. New Starters

For new starters, objectives should be set and key competencies identified during the induction period, and no later than one month after the employees start date.

The self-assessment of current competencies based on the Role Competencies Profile should be made during the induction period ideally but no later than the end of the probation period once self-assessment has been rolled out in June 2016.

6. Staff Who Change Posts

For those staff who change posts during an appraisal year then both posts will need to be appraised, at the beginning and end of the post. So a setting targets and assessing targets form should be completed for each post so that a full year has been appraised.

Administration Officer – Previous post			
Start Date	Set Targets	End Date	Assess Targets
1/4/16	1/4/16	31/7/16	31/7/16
Senior Administration Officer – Current post			
Start Date	Set Targets	End Date	Assess Targets
1/8/16	1/8/16	31/3/17	31/3/17

7. Career Grades

Staff in career grades should be appraised in accordance with this policy, even though incremental progression will be based on the agreed career grade schemes.

8 When Should Performance Appraisal Happen?

Normally during February/ March each year, managers should ask employees to consider and note for discussion:

- Their performance over the last year
- Any notable achievements
- Achievement against last year's objectives

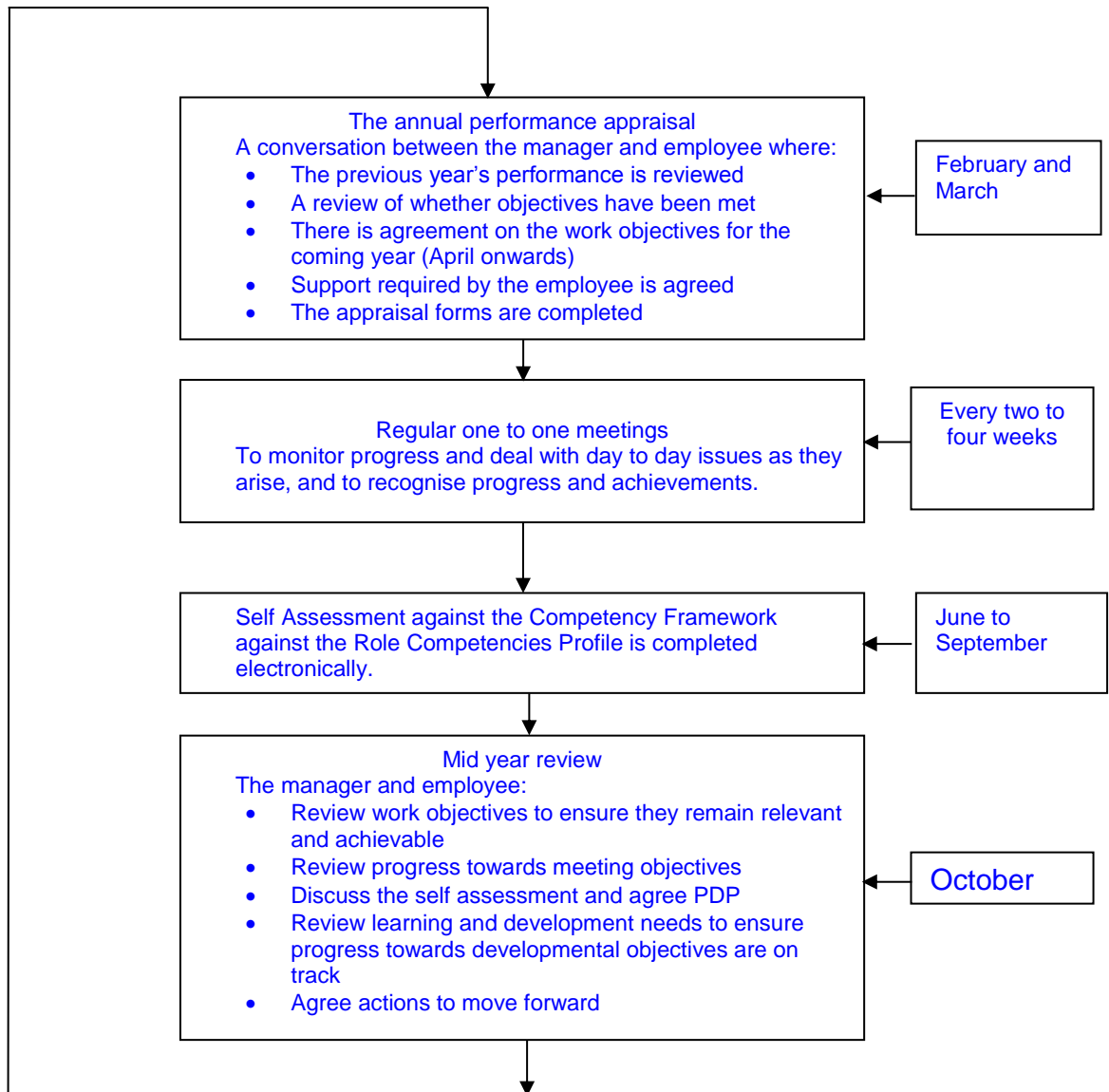
Objectives for the coming year are also normally set at this time, however it should be noted that for 2016/2017 there will be a different appraisal form as competencies will be removed. Standard objectives will also be set for all staff to complete.

For the mid-year appraisal, the self-assessment against the Role Competencies Profile (which will be issued in June 2016) should also be reviewed by the line manager and employee and the Personal Development Plan (PDP) reviewed and amended for the remainder of the appraisal year.

Electronic appraisal forms can be found on the two Councils intranet sites in the HR sections. These will be updated each year with the appropriate information to ensure they are up to date. Three forms exist which include:

1. Target setting – Feb/March/April (if needed);
2. Mid year appraisal – September/October;
3. End of year assessment – Feb/March.

Timescales and actions during the appraisal year.



9. Responsibilities

Too often, appraisals are seen as a one-off annual event unconnected to our everyday tasks. Successful appraisals are the outcome of on-going, regular two-way discussions between the manager and employee during the year.

One way to ensure a positive discussion at the appraisal meeting is for everyone to understand their own role and responsibilities as outlined below.

If you are an Appraiser you are expected to:

Lead individual performance appraisal discussions with staff that you directly line manage. The discussions must include:

- review of past performance;
- an agreed work plan with SMART objectives (Specific, Measurable, Achievable, Realistic and Resourced, Time-bound) which will contribute to the delivery of your local service plan and the overall council plan;
- competency and development needs assessment, with a plan to address agreed gaps;
- ensure employees have sufficient opportunity to respond to feedback and raise points;
- a written record of the discussion (using the appraisal forms) which is signed by the appraiser, appraisee and the reviewer (the reviewer is the appraisers Line Manager and only signs off end of year forms).

Regularly review performance and progress by:

- revising and updating objectives, if necessary and;
- using one-to-one meetings to discuss development activity planned or undertaken.

Give positive and constructive feedback:

- during one-to-one meetings and;
- informally, as part of day-to-day working

Tackle under-performance constructively and promptly by

- giving feedback;
- setting targets for improvement; and
- providing support and development.

Sponsor agreed learning and development activities by:

- allocating time for the activities to be undertaken; and
- evaluating the impact on performance of individual development activities, bearing in mind that the effect may not be immediate.

Ensure that the process is applied consistently and fairly by applying:

- the Council's Equal Opportunities policies, ensuring that issues of equalities and diversity are considered throughout the work objective setting and development planning process.
- sensitivity and judgment when using the appraisal process to meet individual and service needs.

All line managers will need to confirm appraisals have been completed by providing a copy of the completed appraisal form to the reviewer and the appraisee, with a copy being sent to HR using the Achieve Form provided.

If you are receiving an appraisal, you are expected to take ownership of your development and performance during the year by:

- working towards meeting agreed objectives and standards;
- actively monitoring your own progress against targets and keeping your manager informed of difficulties you may be facing;
- listening to constructive feedback and acting on it;
- participating fully in development activities and assessing the impact they have had on your performance.

Prepare for and participate fully in performance appraisal discussions by:

- gathering evidence about your performance;
- generating ideas for service improvement and your own development;
- reviewing appraisal documentation in advance of the meeting and providing copies to your manager.

If you are a reviewer, you are responsible for:

Reviewing the completed performance appraisals that your subordinate managers have carried out. With each form, you should ensure that:

- SMART objectives have been set;
- performance has been assessed fairly, using evidence;
- the appraisal is of a good quality in that it will effectively contribute to improving performance;
- the process is being carried out and used fairly and consistently; and that equality and diversity issues are considered when setting work objectives and in planning development activity;
- feeding identified development needs into the departmental and individual employee training plan (PDP).

The Human Resources directorate will:

- ensure managers have access to the blank performance appraisal documents and provide advice on how to use them;
- advise and coach managers on the performance appraisal process;
- remind managers of the timetable and monitor implementation; and
- monitor performance appraisals to ensure good quality and consistent application of assessment criteria.

10. How Should We Prepare?

To get the best out of an appraisal meeting, both the manager and employee need to prepare. Remember an appraisal meeting is a two-way discussion and an on-going process, not an annual event. Managers and employees both have responsibilities for ensuring that appraisals are successful. Providing feedback is critical to improving performance.

11. Reviewer's Checklist

Below is a checklist of what to check in each section of the appraisal form to ensure it has been carried out effectively.

- Has the employee received regular one-to-ones e.g. in a six month period a full-time employee should have at least four one-to-ones. If not, how have evaluations of performance been made?
- Are objectives taken from the service objectives plan? If not, objectives should be revisited.
- Are tasks measurable? If not suggest appropriate tasks.
- If mid-year, have comments been added?
- If end of year (Feb/March 2017), has an assessment been made for objectives?
- Have competencies requiring development been identified using a PDP and self-assessment against the RCP (role competency profile)?
- Does the assessment appear fair in comparison to other members of the team?
- Have short-term learning objectives been set to address competency development needs?
- Has the impact of development activities been evaluated (has the activity made any difference to performance)?
- For longer-term development: could the employees' aspirations be incorporated into the future of the service?
- Are there any comments to suggest any issues that may need intervention?
- If you find that the quality of what is recorded is unsatisfactory, you may need to coach the relevant manager to address any issues, and advise that part of the meeting may need to be carried out again.

12. Employee Preparation

Employees should:

- gather evidence about your performance by seeking feedback from colleagues and customers, where appropriate and review your own one-to-one notes; and
- review appraisal documentation prior to the meeting and if deemed appropriate forward to the manager before the appraisal meeting.

13. Manager Preparation

Prior to the appraisal meeting managers should:

- gather evidence to ensure a fair assessment;
- consider what objectives and development should be set for the year ahead;
- review the information provided to you by the employee for self-assessment at mid-year;
- agree a date for the appraisal meetings;
- when providing constructive feedback to an employee, ensure that you have more than one example to support your view. If the particular behaviour only occurred once, this may need to be highlighted but is not necessarily a developmental issue.

14. Sources of Evidence

There are several sources of evidence which you may use to help you make an objective assessment of performance. Some options might include:

WORK SAMPLES – such as project reports, project plans.

OBSERVATIONS – Noted by the employee during the appraisal year.

COLLEAGUES – Information and comments from work colleagues and others (although please note that feedback received from other colleagues should be treated with caution, especially if negative, as an employee is unable to provide first hand evidence of any event or behaviour).

CUSTOMERS – This could be collected in a range of formats but depends on the job undertaken and the customer contact.

15. If an Employee is Under-Performing?

The most effective way to tackle underperformance is to approach the individual as soon as the situation arises. Constructive feedback should be used to highlight the area of concern, and include suggestions on how the situation can be better handled next time. A record of the discussion should be kept, along with the development to be undertaken to improve. You should monitor improvement, and discuss with the employee as necessary.

Discussions about under-performance should not be left until the annual appraisal meeting. The appraisal discussion should contain no surprises or feel uncomfortable for you or your team member.

Where performance or conduct continues to be an issue, it may be necessary to take formal action, and you are asked to discuss this with the HR team.

16. What Should be Discussed at the Appraisal Meeting?

The appraisal discussion focuses on reviewing past performance and setting new work objectives for the coming year. Remember this is a two-way process, with both the manager and employee contributing to ensure the process is both fair and effective.

17. Assessing Specific Objectives

The appraisal discussion requires all objectives that have been set to be reviewed against the appropriate scoring mechanism as seen below:

FA = Fully Achieved – Score 3

Using this grade means that the specific objective has been successfully achieved in all aspects

PA = Partially Achieved - Score 2

This grading can be applied when the specific objective has not been fully achieved for a particular reason but the achievement is 50% and over. It does mean that there has been a recognisable level of achievement

SA = Some Achievement - Score 1

This grading can be applied when the specific objective shows some achievement above 25% of the objective but below 50%

NA = Not Achieved – Score 0

If a specific objective has not been achieved or minimal movement has been made toward achieving it then this grade should be used. As with PA it does not necessarily mean a performance failure as there may be many reasons why it wasn't met. These reasons should be outlined on the form, and where non achievement is outside of the employee's control this objective should be agreed to be removed for assessment purposes. For example funding for a project is no longer available and the project is ceased.

18. Assessing Performance Fairly

Once evidence has been gathered a manager will need to be able to use it to make an assessment of the employee's performance. Consideration should be given to the following questions:

- How does the individual's performance compare to the expected standard?
- What was the impact of the employee's performance?
- If as a manager you don't work in close proximity to your employees because of their location consider different ways in which you can make observations and obtain feedback.
- What other factors may be affecting an employee's performance? Such as issues at home or work, health issues, learning and development needs, and motivation.

An effective performance appraisal system is one that is fair. This means ensuring that as a manager you fulfil your obligation to assess your employees' performance and learning and development needs in a consistent and fair manner. This includes ensuring no discrimination is made on equality grounds. With disabled staff it is important to ensure appropriate reasonable adjustments have been made in their roles and that these are taken into consideration when assessing their performance. This is important to ensure that an acknowledgement is made of differences in how the role may be performed and does not mean that duties are not fulfilled. For further information please see the relevant Council's equalities policies.

19. Feedback

Most people would agree that feedback is a good thing to give and receive, even though it may sometimes feel uncomfortable. Meaningful feedback is an essential part of effective performance appraisal. Feedback increases motivation, supports development and helps individuals to be clear about how to be effective in their role.

Motivation describes the drive a person has to work towards certain goals or objectives, By giving feedback, you are highlighting what a person can do more or less of to help them succeed. This makes feedback a powerful tool.

Learning and development is about building on an existing ability. By providing feedback you can signpost where changes in behaviour can be made to further development.

20. How to Give Feedback

The table below can be used as a method to help structure feedback:

OBSERVE	
Use only observable behaviours or actions	What did the person say/do or not say or do? What did you see or hear?
DESCRIBE	
What impact does the behaviour create in your own mind or other people's minds?	It leads me to think/the impression this creates is.....
CONSEQUENCES	
Describe the consequences that the behaviour creates for other people or the organisation.	And the result (or likely results) is/are.....
SUGGESTIONS	
Make and invite positive and constructive suggestions on how the person can act on the feedback. Agree any actions required.	What do you think is the best way of tackling this issue? What I'd like you to do differently is

The key thing to remember is that feedback should be constructive, whether the message is a positive or negative one. The receiver of the feedback should know exactly what it was they did well and not so well, so that they can understand the impact of their behaviour.

Throughout the discussion, the aim is to seek agreement so that both parties can agree and move forward.

21. Receiving Feedback

An employee should feel encouraged to respond to the feedback received. There may be occasions when an employee does not agree with the feedback received, and they have the right to say they don't agree and why they don't agree. A key purpose of feedback is to be able to decide on any action to be taken.

Tips for receiving feedback:

- Ask questions if you are unclear about what is being said.
- Prompt for constructive feedback to be given if felt wanted or needed.

22. Learning and Development and PDP's

The Council's take the view that investing in the development of all its employees is a priority, and should be planned, implemented and evaluated to ensure it is effective. Development planning is a key component of performance appraisal, as it provides the opportunity to discuss the support an individual needs to meet their objectives.

The learning and development planning discussion has two parts: short-term and long-term.

Short-term development should be focussed on supporting the achievement of business objectives and development of competencies (as described in the Role Competencies Profile) for the coming year. Whereas longer term development will go beyond the initial year of the appraisal cycle. Consideration at this point should also be made to available funding (if this is required) and how this can be used to meet the learning requested.

Every employee is expected to complete a PDP during the 2016/2017 appraisal year including any developmental areas identified as part of the self-assessment, as well as professional or technical training/development requirements.

23. Planning Learning and Development

Answers to the self-assessment questions within the online competency based IT system can be used as a basis for discussion developing and working towards a successful PDP. It is important that the employee is made aware of all learning and development needs and consideration be fully given to how they can be addressed.

Training will be provided to all staff in the use of the IT system that will support self-assessment against the Role Competencies Profile (RCP).

Development activities will be most effective if learning is applied to the work be undertaken. An employee should discuss with their manager how to make the most of the development opportunity and how this will be applied to their post.

Achievement of any learning and development plans remains the responsibility of the employee but should be reviewed on a regular basis to ensure that they are appropriate.

Short term development should include details of:

- The development objective
- Why it is needed
- How the objective will be achieved and by when

Remember- development takes time! No-one becomes an expert overnight. The conscious-competence model is useful for outlining the process that individual's go through when they are learning something new.

24. Evaluation of Learning

Following the completion of any development activity, you should discuss the impact it has had on the employee during subsequent one-to-one meetings. The level of impact also needs to be noted on the appraisal form. This may also be an opportunity for you to provide feedback on any changes you have observed in the employee's behaviour as a result of the activity.

To increase the effectiveness of development activities further still, try to discuss how the employee's development can continue to be built upon. For example, if they have attended a course on project management, it may be useful to consider which projects they could become involved in over the course of the year.

25. Setting Objectives

Effective objective setting is crucial to the performance appraisal process. This part of the discussion clarifies to employees exactly what is expected from them. It also provides the opportunity to agree what support managers need to provide in order to help the employee achieve their objectives. Objectives should contribute to the delivery of the service plan and organisational priorities and encourage the employee to recognise how their role fits into the bigger picture.

Objectives should:

- Be tailored so that they consider an individual's abilities, experience and aspirations
- Be stretching/challenging so that the individual has an opportunity to develop new skills and experiences (this refers to the quality of the work not quantity)
- Be supported by the individual's development plan
- Be reviewed regularly
- Be amended if circumstances arise that affect the business objectives, e.g. new policies/priorities, changing customer needs
- Be in line with each Council's values
- Be SMART

How Many Objectives?

No more than 8 objectives should be set for employees, and ideally no fewer than 5 to ensure that when objectives are assessed there is some equity in numbers across posts. Fewer objectives may be set if employees:

- Work part-time hours
- Are part of a team where there are several others fulfilling the same role
- Are not office-based

It may be appropriate for you to set the objectives for these employees in advance of the appraisal meeting, especially if you have a number of employees fulfilling the same role.

For the 2016/2017 appraisal year the following objectives will be set for all staff:

- To carry out a self-assessment against the RCP for an employee's post to identify development areas (fully achieved).
- To have in place an agreed Personal Development Plan including any developmental areas identified as part of the self-assessment, as well as professional or technical training/development requirements (fully achieved).

26. Comments and Sign-off

The final section of the performance appraisal form can be used to make additional comments that the manager, employee or reviewing manager (if end of year appraisal) may have. If for any reason an employee is unhappy with the outcome of their performance appraisal or would like to record any mitigating circumstances that may have affected performance, this should be recorded in the comments section. Once the appraiser and the appraisee comments have been made, the form should be passed to the reviewer (if end of year appraisal only). If the form is not the end of year appraisal the form will be submitted to HR once the line manager has signed the form off. The end of year appraisal will be submitted once the reviewer has authorised the form.

27. Appeals

If there is a disagreement relating to any part of the process that cannot be resolved between the employee and the reviewer then an appeal can be made to the HR. The appeal will be heard by an independent and more senior manager than the employee.

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DRAFT Joint Incremental Pay Progression Policy for 2016/2017 only

1. Purpose

- 1.1 The purpose of this policy is to outline the Councils approach to incremental pay progression. It is relevant to each Council's grading structure and the joint performance appraisal process.
- 1.2 This policy is effective for the performance appraisal year 1 April 2016 – 31 March 2017 only. The policy for appraising performance and policies for incremental pay progression in 2015/16 (in February/March 2016) remains unchanged. This policy will not apply to members of JMT who have increments determined through alternative means.

2. Introduction

- 2.1 This policy outlines the process to be applied for incremental progression that would be applied from the 1 April 2017 only, following appraisal of performance/outputs during the 2016 – 2017 performance year.
- 2.2 The mechanism for pay progression requires the use of the performance appraisal process and the scoring used for targets/objectives, along with an assessment of whether the corporate objectives set out in section 8 have also been met.

3. Assessment of Competencies

- 3.1 The Councils introduced a Competency Framework in August 2015 and will be phasing this into the appraisal process during the 2016 – 2017 performance year.

The Competency Framework will help to guide the identification of employee development needs through self-assessment, discussion and agreement with line managers. It is intended to be used as a tool to help our employees attain the new levels of skill, behaviour and attitude required of their roles to create a different culture and working environment for the future growth and sustainability of our two councils.

4. Appraisal and Awarding Incremental Progression

4.1 The employee appraisal process is set out in the Performance Appraisal Policy.

The overall purpose of the appraisal process is to:

- Set clear objectives
- Consider development needs
- Monitor and review performance
- Review achievement against objectives
- Recognise achievements

4.2 Appraisals will take place for all employees in accordance with the Councils Performance Appraisal Policy. The final appraisal that takes place in February/March 2017 will determine whether an employee should get an increment that would be implemented from the 1 April 2017.

5. Employees at the maximum of their pay grade and career graded posts

5.1 If an employee is at the maximum of their grade, or if they occupy a career graded post they will not be eligible to receive an increment or any additional payment. Career graded posts have their own agreed progression arrangements, however in both cases appraisals must still take place in line with the Performance Appraisal Policy.

6. Implementation of increments

6.1 If the outcome of the appraisal results in the employee being awarded an increment, then this will be applied from the 1 April 2017 and the increase paid on the agreed pay date.

6.2 In exceptional circumstances, such as maternity (and other long term family absence) and sickness absence, and in agreement with Human Resources, awarded increments can be backdated to April 2017 if an appraisal is undertaken after the original February/March date.

6.3 Irrespective of the overall score attained by an individual only one increment can be awarded.

6.4 An employee must have been employed by either Council for one year to be eligible to be considered for an increment (or have continuous service from a

transfer from either CDC or SNC. Continuous service from other bodies as contained in the Local Government Modification Order.

- 6.5 Where an employee changes job internally during this appraisal year, an appraisal cycle will need to be completed for each post that covers the incremental assessment period from the 1 April 2016 to the 31 March 2017. Refer to the Performance Appraisal Policy for more information.

7. Appraisal Assessment

7.1 Scoring Targets/Objectives

- 7.2 This part of the appraisal form is concerned with assessing individual performance against their personal targets/objectives as well as the agreed standard targets that will be incorporated into appraisals during 2016/2017.. Points are awarded as follows:

Looking Back - Objectives/Targets

Assessment Description from Appraisal	Score
Fully Achieved (all aspects of objective achieved)	3 points
Partially achieved (majority of elements of objective achieved)	2 points
Some achievement (clear plan in place or at least one element of objective achieved)	1 points
Not achieved	0 point

- 7.3 If an objective/target on the appraisal form is no longer relevant and it is agreed it should be removed where it can no longer be achieved through no fault of the employee's, this will not be taken into account for the scoring, and should be removed from the final appraisal document.
- 7.4 The level of performance required to trigger consideration for incremental progression is an average score of 2.5 for all objectives.

8. Criteria for Incremental Progression

- 8.1 In addition to achieving a score of 2.5 with regards to objectives / targets the following criteria must also be evidenced by employees in order to be awarded an increment
- To have carried out a self-assessment against the new Competency Framework to identify development areas (fully achieved).
 - To have agreed a personal development plan (PDP) including any developmental areas identified as part of the self-assessment, as well as

professional or technical training/development requirements (fully achieved). This does not mean that development will have taken place.

- Mandatory training and corporate requirements (e.g. Data protection e-learning certificate, employee code of conduct form submitted and up to date, proof of business use car insurance where relevant) have been met within the required timescale.
- Satisfactory conduct or capability. An employee who is subject to and founded to have a formal disciplinary sanction or capability action under any HR performance policy at the time of the end of year assessment (and still live at that time), or during the appraisal year will not be eligible for an increment.

9. Appeals

- 9.1 An Appeals Panel, made up of a Chairperson (an independent manager in a higher graded post than the employee) and a HR representative will hear any appeals in relation to the incremental progression process and outcomes of the incremental progression policy. Should a member of HR make an appeal then the panel will be made up by using a Legal services representative. All panel members will be trained. The employee will be eligible to be supported by a trade union representative or work colleague.
- 9.2 Appeals will be heard within a month of the appellant's application for appeal and should the outcome of an appeal request a review of any scoring then this may result in the score going up, down or staying the same.
- 9.3 There will be no further right of appeal.

Role Competencies Profile

Role Title: TBC

Post Number: TBC

Type	Competence	Level A-H
Core	Communication	F
Core	Performance and Outcome Focus	F
Core	Customer Focus	F
Core	Innovation, Continuous Improvement and Problem Solving	D
Core	Collaborative Teamwork	D
Core	Financial and Commercial Awareness	D
Core	Expertise and Self Development	F

Type	Competence	Level A-H
Management	Managing People and Change	E
Management	Collaborative Leadership	E
Management	Strategic Thinking	D
Management	Commercial Focus	A

Cherwell District Council and South Northamptonshire Council

Joint Commissioning Committee

14 January 2016

<p>Proposal for a Joint Stand-by and On-Call Policy and Allowance</p>
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Report of Head of Transformation

Purpose of report

To seek approval to implement a shared Stand-by and On-call policy and associated allowances for Cherwell District Council and South Northamptonshire Council.

1.0 Recommendations

The meeting is recommended:

- 1.1 To approve the shared stand-by and on-call policy and associated allowances (Appendix 1).

2.0 Introduction

The introduction of this policy is with a view to ensuring fairness, consistency and equality across both Councils, providing clarity to staff and managers around stand-by and on-call service provision whilst ensuring that budgetary implications are kept to a minimum.

3.0 Report Details

- 3.1 CDC - The policy in place at CDC was agreed during 2010 following the implementation of Single Status and a new collective agreement was negotiated.
- 3.2 SNC - There is currently no policy at SNC for standby or on-call arrangements, however there is an informal arrangement whereby staff are paid if they are required to undertake such duty; the amount being determined by the national agreement on pay and conditions of service for local government services known as the "Green Book".

- 3.3 At both Councils stand-by and on-call payments are not currently linked to the cost of living payments. The current level of allowance differs from one Council to another, with SNC paying slightly more, as set out in Table 1.

Table 1: comparison of current allowance for stand-by and on-call

	Stand-by	On-Call
Cherwell District Council	£2.18 per hour	£1.33 per hour
South Northants Council	£ 2.34 per hour	N/A

3.4 **Definitions of Stand-by and On-call**

- 3.5 The current CDC definition for *stand-by* states stand-by arrangements will require the employee to remain contactable, outside of normal working hours, for a stated period (in accordance with an agreed rota).

Eligibility for stand-by requires an employee to be available to attend a site or incident if required and within a reasonable time period and therefore the employee is required to remain fit to attend work.

- 3.6 The current CDC definition for *on-call* states the employee must remain contactable, outside of normal working hours, for a stated period (in accordance with an agreed rota). On-call means that the Council does not require the employee to attend a site or incident as a result of any phone calls or contact. Queries can be dealt with via a telephone or other remote communication.

- 3.7 The new policy offers clarity in the wording of the definitions: -

- 3.8 *Stand-by* arrangements will require the employee to remain contactable, outside of normal working hours, for a stated period (in accordance with an agreed rota). Eligibility for stand-by requires an employee to be available to attend a site or incident if required and within a reasonable time period and therefore the employee is required to remain fit to attend work.

- 3.9 *On-call* arrangements will require the employee to remain contactable, outside of normal working hours, for a stated period (in accordance with an agreed rota). On-call means that the Council does not require the employee to attend a site or incident as a result of any phone calls or contact. Queries can be dealt with via a telephone or other remote communication.

- 3.10 There is currently no standard form to claim stand-by and on-call allowances at either Council. This will also be changed going forward to enable all employees to be able to make appropriate claims.

4.0 **Conclusion and Reasons for Recommendations**

- 4.1 The report concludes that there is a need for a consistent approach that ensures fairness, equality and clarity for staff at both councils on what allowance can be claimed in the event of being on stand-by or on-call. The policy will also enable managers to understand and be clear on what stand-by and on-call are, and in what circumstances these can be used; and meets the needs of joint working s l.

- 4.2 The levels of allowance are harmonised and increased by 16p per hour for CDC employees on implementation; then continues to be reviewed each year on an annual basis. By implementing this proposal employees who currently support our services at SNC will not financially be disadvantaged.

Table 2: proposed new allowances

Stand-by	On-Call
£ 2.34 per hour	£1.49 per hour

- 4.3 A standard form for processing stand-by, call-out and related overtime payments (Appendix 2) is introduced and implemented to ensure consistency across both Councils.
- 4.4 The payroll system will be updated to clearly identify the difference between stand-by and on-call payments using two different payroll indicators; this will provide clear monitoring and finance information for HR and management.

5.0 Consultation

Unison – SNC	Positive feedback given with a few changes that have all been included in the revised policy.
Unison – CDC	Very limited feedback given, consideration needs to be given when business cases are being proposed as to whether stand-by and on-call is contractual or voluntary and full period meaningful consultation is undertaken.
CDC Staff Consultation Group	Very limited feedback given.
JMT	Very limited feedback given, clarity in the wording of the definitions, changes made and in the revised policy.

6.0 Alternative Options and Reasons for Rejection

- 6.1 The following alternative options have been identified and rejected for the reasons as set out below.

Option 1: To continue with the current policy for CDC and informal arrangements with SNC which would not provide equality of approach for shared teams.

7.0 Implications

Financial and Resource Implications

- 7.1 The financial implications of the changes will be negligible and can be met from the existing budgets.

Comments checked by:

Paul Sutton, Head of Finance and Procurement, 03000 030106
paul.sutton@cherwellandsouthnorthants.gov.uk

Legal Implications

- 7.2 There has been full staff consultation. This policy will bring fairness and equality to staff at both Councils.

Comments checked by:
Nigel Bell, Solicitor, 01295 221687
nigel.bell@cherwellandsouthnorthants.gov.uk

Document Information

Appendix No	Title
1	Stand-by and On-Call Policy
2	Stand-by, call-out and related overtime payments form
Background Papers	
None	
Report Author	Angela Chisholm HR Business Partner for Development and Bicester
Contact Information	01295 227984 angela.chisholm@cherwellandsouthnorthants.gov.uk



STANDBY AND ON-CALL POLICY

1. Introduction

- 1.1 It is the Council's intention to ensure that all staff who are on a standby or on-call rota receive fair and equitable compensation for inconvenience caused. It also seeks to ensure that staff receive payment in line with the level of inconvenience.

2. Eligibility for standby payments

- 2.1 The only staff eligible to receive a standby or on-call payment are those dealing with emergencies relating to out-of-hours services that are either statutory Council requirements or are essential to the delivery of Council services.
- 2.2 Only one member of staff per service will receive a standby or on-call payment at any given time.
- 2.3 For the purpose of this policy, out of hours does not include office opening hours i.e. 8.45am to 5.15pm Monday to Friday.
- 2.4 The Head of Service will determine the rota to be used in providing an out of hours service, and which posts / staff should be included in the rota. As hours may vary per service area, an hourly rather than weekly rate will be used.
- 2.5 This policy needs to be used in conjunction with the joint flexitime policy.

3. Standby allowance

- 3.1 Standby arrangements will require the employee to remain contactable, outside of normal working hours, for a stated period (in accordance with an agreed rota). Eligibility for standby as opposed to on-call requires an employee to be available to attend a site or incident if required and within a reasonable time period and therefore the employee is required to remain fit to attend work.
- 3.2 The standby rate is reviewed annually in-line with the cost of living award.
- 3.3 Should an employee be called to attend an incident rather than being able to deal with this over the telephone, overtime will be paid in accordance with the Council's current overtime rates.
- 3.4 Double time will be paid for any hours an employee is required to be on standby during bank holidays. There is no enhanced rate for weekends.

4. On-Call allowance

- 4.1 On-call arrangements will require the employee to remain contactable, outside of normal working hours, for a stated period (in accordance with an agreed rota). On-call means that the Council does not require the employee to attend a site or incident as a result of any phone calls or contact. Queries can be dealt with via a telephone or other remote communication.
- 4.2 The on-call rate is reviewed annually in-line with the cost of living award and recognises the difference in both the volume of queries but also the fact that the employee's home life balance is less disrupted as call outs are never required. The allowance covers all work undertaken in dealing with queries and overtime does not apply to anyone undertaking on call duties.

5. Status and review of rates

- 5.1 Should service needs change then the Head of Service has the right to review out of hours arrangements which may result in a change in the rota, and possibly the withdrawal of the out of hours service and the related entitlement to any related allowance. Standby and call out allowances attract normal deductions, including pensions where employees are in scheme membership.
- 5.2 Rates for on-call and standby will be reviewed on an annual basis in accordance with the pay award.



OVERTIME AND ADDITIONAL HOURS WORKED

PLEASE COMPLETE ALL BOXES BELOW.

IF YOU HAVE MORE THAN ONE EMPLOYMENT PLEASE COMPLETE A SEPARATE CLAIM FOR EACH POST

NB: All claims must be received by payroll by 10th and submitted monthly. Please DO NOT include current month claims.

Council	CDC		SNC		
Name					Claim for month of
Pay No					Department
Job Title					Contracted hours p/w

Date Hours Worked	Time		If Bank Hol, are these normal rota hours? (Please tick)	Total Hours (Excluding lunch)			Notes and details of work	Alternative Cost Centre Code
	From	To		Mon - Fri	Sat	Sun		
Total Hours							OVERTIME paid to nearest 1/2 hour down ADDITIONAL hours paid in full	

Standby/ On call Allowance				
Date From	Date to	Total hours worked	Amount £	Details

I certify the hours I have claimed are correct	
Signed	
Date	
Authorized Signatory	
Signed	
Name (Print)	
Date	

Description	Element	Totals	PAYROLL USE ONLY Input by: Date: Checked: Date:
Contractual Plain			
Contractual 1.5	1406		
Contractual 2.0			
Bank Holiday Plain	3504		
Bank Holiday Double	3502		
Overtime 1.5	1407		
Overtime 2.0	1413		
Additional Hours	1401		
Hours at enhanced rate	1010		
On call hours claim	1448		
Standby Claim	1448		

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South Northamptonshire Council and Cherwell District Council

Joint Commissioning Committee

14 January 2016

<p>A Business Case for a Joint Customer Service Team</p>

Report of Director of Operational Delivery

This report is public

The appendices to the report are exempt from publication by virtue of paragraphs 1, 2, 3 and 4 of part 1 of Schedule 12A of Local Government Act 1972

Purpose of report

This report presents the final business case following consultation for a joint Customer Service team across Cherwell District and South Northamptonshire Councils (hereafter “Cherwell” or “CDC” and “South Northamptonshire” or “SNC” respectively).

The report recommends the formation of a two way joint Customer Service team and in doing so seeks the Joint Commissioning Committee’s agreement for the staffing elements of the business case.

The proposal is part of the wider transformation programme across the two Councils.

1.0 Recommendations

The meeting is recommended:

- 1.1 To consider the responses to the consultation process with the affected staff and trade union representatives received as detailed in the consultation log (exempt Appendix 2) and from the Joint Councils Employee Engagement Committee (to be reported verbally), and determine whether any amendment to the business case is required as a result of them.
- 1.2 To note that the business case will be considered in respect of non-staffing matters by CDC Executive on 1 February 2016 and by SNC Cabinet on 8 February 2016.
- 1.3 To approve the staffing aspects of the final business case to share a joint Customer Service between SNC and CDC (exempt appendix 1), including determination of the voluntary redundancy request referred to in paragraph 6.5 and exempt Appendix 3, subject to consideration and approval of the non-staffing implications by CDC Executive and SNC Cabinet.

- 1.4 To delegate authority to the Director of Operational Delivery in consultation with the Chairman of the Joint Commissioning Committee to make any non-significant amendments that may be required to the business case following the decision by CDC Executive and/or SNC Cabinet.

2.0 Introduction

- 2.1 Following the adoption of a Business Case for joint working by CDC and SNC in February 2015 and the commitment to deliver the business case objectives as soon as is practicable, the three way transformation programme was reshaped to meet the needs of SNC and CDC pending a decision from Stratford-on-Avon District Council regarding its participation after the election in 2015.
- 2.2 Following the decision of CDC and SNC Councils in February 2015 to approve the final business case for developing the approach to joint working and the delivery of local authority services, all services at both Councils are now included on the policy framework for the consideration of shared working.
- 2.3 This business case sets out a proposal to establish a two-way Customer Service team between CDC and SNC. The business case is one part of a wider Customer Service transformation workstream focusing on delivering the technology that underpins the service, channel shift and business process change to ensure that as much of our first point of customer contact activity, (across both councils and all services) be undertaken online or the through the customer contact centre.

3.0 Report Details

- 3.1 The draft business case was endorsed for consultation with staff and unions by the Joint Commissioning Committee on 16 November 2015 having been previously been discussed and endorsed by the Transformation Joint Working Group. The final business case following consultation is attached as Appendix 1 of this report.

Proposal

- 3.2 The business case sets out the rationale for sharing a customer services resource that will deliver savings, facilitate improved customer access through channel shift and would allow additional partners to join in the future (either as part of a joint working partnership or as paying customers).
- 3.3 Combining the current Customer Services teams at CDC and SNC will provide an improved and strengthened service to assist the Councils in providing a high quality of service for business and residential customers, through a range of channels.
- 3.4 The vision for this joint operation is an effective and high performing customer contact team who deal with as many customer queries from all council service areas as possible. The delivery of this vision is a central part of the councils' transformation programme and it will ensure we can access further savings through channel shift and effective use of customer service resources, including freeing up technical and specialist professionals to undertake their roles. The team will also enable fluctuations in peak customer contact activity within each council and between both councils to be better managed.

- 3.5 Establishing the joint team will allow the Councils to begin a programme of consolidating, standardising and harmonising processes and procedures across all services which will allow as much first line customer contact as possible to be delivered either online or through the customer contact centre enabling the organisations to realise future savings.
- 3.6 The service is structured to both meet the strategic objectives of each Council and to address areas of common interest. The work will focus around the themes below:
- **A high quality frontline customer contact service:** Frontline customer queries dealt with at the first point of contact and a 'triage' approach that quickly refers technical or complex queries to the relevant professional;
 - **Channel Shift:** Substantial channel shift, to facilitate online customer service requests and transactions;
 - **ICT Systems:** Technology to underpin this transformation.

Financial

- 3.7 The financial implications associated with the business case are set out in detail in Section 13 of the attached final business case.
- 3.8 The business case is not based on achieving savings through a reduction in Customer Service staffing levels alone as in the longer term savings will be driven by channel shift and identifying all staff and services within CDC and SNC Councils who have a customer interface function which can be relocated into the Customer Service team. However, by consolidating the current teams into a shared service the councils will see an initial cost saving of £61,000 split as follows:

Team	Council	2016/17
Joint Customer Service Team (Cost Savings)	CDC	£40,500 (4%)
	SNC	£20,500 (6%)
Total Savings	CDC/SNC	£61,000 (4.5%)

- 3.9 There will be some transition support required, particularly in SNC's Forum Atrium function to ensure the team is fully operational from day one whilst the harmonisation of processes and systems is delivered. This means that SNC total saving in 2016/17 will be reduced by approximately £11,000.

Decision making timetable

- 3.10 The timetable and recommendations arising from the democratic process for both Councils is outlined in the table below:

Date	Committee and Council	Decision
14/01/2016	Joint Councils Employee Engagement Committee	To be reported verbally.
14/01/2016	Joint Commissioning Committee	To be determined.
01/02/2016	CDC Executive	To be determined.
08/02/2016	SNC Cabinet	To be determined.

4.0 Conclusion and Reasons for Recommendations

- 4.1 The business case represents a major milestone in the revised transformation programme across CDC and SNC. The proposed joint team would provide an improved and strengthened Customer Service function for each district.
- 4.2 The service is structured to both meet the strategic objectives of each Council and to address areas of common interest. Creating a joint shared customer service team will increase resilience and will allow the pooling of resources and expertise in order to improve services.

5.0 Consultation

All affected staff within the two Customer Service teams.	A range of feedback given, with very few changes.
Unison Representatives from each Council.	Positive feedback given with no changes.
Transformation Joint Working Group	Endorsed business case for consideration by JCC.
Joint Commissioning Committee	Endorsed business case for staff consultation.

- 5.1 Both Councils are committed to maintaining a strong, positive and inclusive approach to industrial relations. With this in mind, it is important to explain at the outset that consultation with the affected staff and trade union representatives takes place prior to members' consideration of any final business case or restructure so that members can take account of any views/representations and /or issues as part of their decision making process.
- 5.2 The manner of consultation helps to reassure the affected staff and trade unions that they do have a voice that will be heard by those who are responsible for making decisions. The timing, extent and approach adopted towards consultation are an important part of the process, particularly as the intention is always to facilitate a meaningful consultation dialogue.
- 5.3 Consultation with all employees in the scope of the proposed business case to create a two way shared Joint Customer Service team and the Unison representatives both Councils commenced on Friday 20 November 2015, and ran for a three week period until Friday 11 December 2015 at 5pm. The consultation log attached therefore includes the responses to the consultation between these periods of time. The only changes to the business case arising from the consultation process relate to relatively minor matters of accuracy relating to job descriptions.
- 5.4 We would like to thank the staff who volunteered this information during the consultation process and those who helpfully enabled us to update the business case.

- 5.5 During the consultation period, various forms of consultation have taken place to ensure that each employee and the recognised trade unions have had the opportunity to engage in the process, and to express their views/representations on behalf of their members, notably through:
- Employee briefing meetings were held to ensure that as far as possible, all of the affected staff received the same message at the same time;
 - Meetings with individuals;
 - Meetings with groups;
 - Maintenance of an active consultation log;
 - Personal issues dealt with by email or one to one discussion.
- 5.6 The consultation log of comments made by the affected staff and/or their trade union representatives, and the response of management is attached at Appendix 2 for members' consideration.
- 5.7 The consultation process has generated a range of responses. In total, 34 questions seeking clarification on particular issues or simply making statements were received and responded to. A number of other individual and personal matters were also responded to by email. The consultation log responses received are summarised in the table below:

Category	No of Responses	Comments
Assimilation and Ring – Fence	2	Responded to questions – no changes.
Business Case	2	Responded to questions – no changes.
Job Descriptions and Roles	7	Q5, 6 and 8 relate to the Customer Service Officer role. Some amendments made to the job description. Q9 error highlighted in Improvement and Development Officer job description – now amended
Other Minor Issues	3	Responded to questions – no changes.
Proposed Working Arrangements	5	Responded to questions – no changes. The precise working arrangements will be finalised when the new management team is in place.
Service Structure	6	Q24 - relate to the Customer Service officer role. Some amendments made to the job description. Q24 – relate to the structure, some amendment made.
Terms and Conditions	9	Responded to question – no changes.

6.0 Implications

Financial & Resource Implications

- 6.1 The detailed financial implications are set out in section 13 of the business case. However in summary, the proposal will deliver a £61,000 (4.3%) saving on staffing costs per annum. The savings are achieved predominantly through moving to a single manager and removing temporary posts currently in place.
- 6.2 However, this is based on the inclusion of the Customer Services Improvement and Development Officer which is a new dedicated resource for supporting, shaping and developing opportunities for further customer service improvements. Excluding this additional investment, the proposal would deliver a 7.6% saving on staffing costs.
- 6.3 Based on a cost allocation model the proposal results in the following a saving of £40,500 for CDC and £20,500 for SNC. The cost allocation model is based on the anticipated level of resource required for each Council moving forward.
- 6.4 There could be redundancy or pay protection costs as a result of implementing the proposal. During the consultation process, three members of staff requested that they be considered for voluntary redundancy. Two of the requests are from members of staff who are to be assimilated into the proposed structure and since the redundancies would not be in the interests of the service are not recommended for support.
- 6.5 The third request at Appendix 3 is from a member of staff who has been ring-fenced to a position which is perceived to be lower than their substantive post and could be at risk of redundancy through the implementation process. It is felt that this voluntary redundancy would be in the best interests of the service and it is therefore recommended that it is accepted. The redundancy costs are included within the implementation costs as outlined in section 15 of the business case and should be split equally between the two Councils, with the costs being funded through earmarked reserves.

Comments checked by: Paul Sutton, Head of Finance and Procurement,
0300 003 0106 paul.sutton@cherwellandsouthnorthants.gov.uk

Legal Implications

- 6.6 As with all two way shared services this proposal, if implemented, will be covered by the section 113 agreement (as amended) entered into between the two Councils.
- 6.7 Decisions regarding human resources cannot be made by CDC Executive or SNC Cabinet. Human resource elements of the business case are considered by the Joint Commissioning Committee. The business case must be approved by CDC Executive and SNC Cabinet in respect of non-staffing matters and by the Joint Commissioning Committee in respect of staffing matters before the Councils can be deemed to have approved the business case.
- 6.8 A redundancy situation arises where the requirement of the employing council for work of a particular kind to be undertaken are expected to cease or diminish as a result of the proposed changes.

Comments checked by: Kevin Lane, Head of Law & Governance,
0300 003 0107 Kevin.Lane@cherwellandsouthnorthants.gov.uk

HR Implications

- 6.9 It is the traditional approach of CDC and SNC to consult staff and the trade unions on a detailed staffing structure arising from any business case for change, prior to consideration by members. This has the effect of enabling members to consider the views and any representations of the staff and trade unions before making their final decision on any such proposals, and ultimately ensures that the Councils meet their statutory obligations to undertake a meaningful process of consultation prior to a decision being made.
- 6.10 This model has the advantage of allowing staff to identify whether their existing jobs will be deleted; to consider the detailed job descriptions of any proposed new roles and to identify whether there are any opportunities for promotion or other career aims to be met. They can see whether their hours of work might alter, whether their salaries will change (up or down), or whether their work location will change. They are able to comment upon the proposals in the knowledge that members will give due regard to their comments before making a decision.
- 6.11 The expectation is that existing staff would continue to be employed by their current, respective authority under the pay, and terms and conditions of that employing organisation. New and revised job descriptions have been devised in order to standardise responsibilities across the two organisations. The new job descriptions have been through the job evaluation process at each organisation.
- 6.12 The implementation process will be in accordance with the joint Organisational Change policy.

Comments checked by: Janine Dean; HR Business Partner
01295 221733 / Janine.Dean@cherwellandsouthnorthants.gov.uk

Equality Implications

- 6.13 An Equality Impact Assessment initial screening assessment has been carried out and it has been determined that the proposal does not have any adverse impact on equality groups and as a result a full impact assessment and associated action plan is not required. This is included as part of the business case in Appendix 1.

Comments checked by: Caroline French, Corporate Policy Officer, 01295 221586
caroline.french@cherwellandsouthnorthants.gov.uk

7.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

Cherwell, An Accessible Value For Money Council

South Northamptonshire - To Enhance Performance

Lead Councillors

Cherwell - Councillor George Reynolds, Deputy Leader;

South Northamptonshire - Councillor Rosie Herring, Portfolio Holder for Community Engagement and Wellbeing

Document Information

Appendix No	Title
1.	Joint Customer Service Business Case – Exempt
2	Final Consultation Log with actions – Exempt
3	Request for Voluntary Redundancy - Exempt
Background Papers	
None	
Report Authors	Ian Davies – Director of Operational Delivery
Contact Information	03000 030101 Ian.Davies@cherwellandsouthnorthants.gov.uk

South Northamptonshire Council and Cherwell District Council

Joint Commissioning Committee

14 January 2016

<p>A Business Case for a Joint Public Protection Service</p>

Report of Director of Operational Delivery

This report is public

The appendices are exempt from publication by virtue of paragraphs 2, 3 and 4 of part 1 of Schedule 12A of Local Government Act 1972.

Purpose of report

This report presents the final business case following consultation for a Joint Public Protection Service across Cherwell District and South Northamptonshire Councils (hereafter “Cherwell” or “CDC” and “South Northamptonshire” or “SNC” respectively).

The report recommends the formation of a two way Joint Public Protection Service and in doing so, seeks the Joint Commissioning Committee’s agreement to the staffing elements of the business case.

The proposal is part of the wider transformation programme across the two Councils.

1.0 Recommendations

The meeting is recommended:

- 1.1 To consider the responses to the consultation process with the affected staff and trade union representatives received as detailed in the consultation log (exempt appendix 2) and from the Joint Councils Employee Engagement Committee (updated verbally) and to determine whether any amendment to the business case is required as a result of them.
- 1.2 To note that the business case will be considered in respect of non-staffing matters by CDC Executive on 1 February 2016 and by SNC Cabinet on 8 February 2016.
- 1.3 To approve the staffing aspects of the final business case (exempt appendix 1) to share a joint Public Protection Service between SNC and CDC including the approach taken to redundancies, subject to consideration and approval of the non-staffing implications by CDC Executive and SNC Cabinet.

- 1.4 To delegate to the Director of Operational Delivery in consultation with the Chairman of the Joint Commissioning Committee any non-significant amendment that may be required to the business case following the decision by CDC Executive and/or SNC Cabinet.

2.0 Introduction

- 2.1 Following the adoption of a Business Case for Joint Working by CDC and SNC in February 2015 and the commitment to deliver the business case objectives as soon as is practicable the three way transformation programme was reshaped to meet the needs of SNC and CDC pending a decision from Stratford-on-Avon regarding their participation after the election in 2015.
- 2.2 Following the decision of CDC and SNC Councils in February 2015 to approve the final business case for developing the approach to joint working and the delivery of local authority services, all services at both Councils are now included on the policy framework for the consideration of shared working.
- 2.3 This is one of a number of business cases for two way shared services across CDC and SNC to be considered following the adoption of the business case in February 2015 and is part of the on-going Transformation Programme across the two Councils.
- 2.4 This business case remodels the existing services at both councils into a new joint service and as a result delivers savings in excess of the guidance targets set out in the February 2015 business case.

3.0 Report Details

- 3.1 The draft business case was endorsed for consultation with staff and unions by the Joint Commissioning Committee on 16 November 2015 having been previously been discussed and endorsed by the Transformation Joint Working Group. The final business case following consultation is attached as Appendix 1 of this report.

Proposal

- 3.2 The business case sets out the rationale for establishing a joint Public Protection Service.
- 3.3 Combining the current Environmental Health and Public Protection teams at CDC and SNC will provide an improved service, designed to meet the statutory requirements of both councils whilst delivering significant savings.
- 3.4 Beyond fulfilling the statutory roles, the business case proposes a service that is designed to contribute to the “Better Business For All” agenda and in doing so, can maximise the commercial opportunities for the service.
- 3.5 By creating a joint Safer Communities team as part of the proposed structure, the existing SNC partnership with Daventry District Council is proposed to be replaced giving greater direct control over important anti-social behaviour and community safety activities.

Financial

- 3.6 The financial implications associated with the business case are set out in detail in Sections 17, 18 and 19 of the attached business case.
- 3.7 The proposal generates savings of £183,750 across both councils in a full year but requires some transitional funding for one temporary Environmental Health Officer post in the Health Protection and Compliance team for the first year only whilst the harmonisation of processes and systems are embedded to deliver the longer term cost efficiencies. This temporary resource will also provide additional resilience for the preparation for and response to planned growth in both Districts.

Decision making timetable

- 3.8 The timetable and recommendations arising from the democratic process for both Councils is outlined in the table below:

Date	Committee and Council	Decision
14/01/2016	Joint Councils Employee Engagement Committee	To be updated verbally.
14/01/2016	Joint Commissioning Committee	To be determined.
01/02/2016	CDC Executive	To be determined.
08/02/2016	SNC Cabinet	To be determined.

4.0 Conclusion and Reasons for Recommendations

- 4.1 The business case represents a significant step in the revised transformation programme across CDC and SNC. The proposed joint service would provide realigned delivery teams designed to meet the statutory, commercial and shared agendas for each district.

5.0 Consultation

All affected staff within the two Customer Service teams.	A range of feedback topics given, with very few changes.
Unison Representatives from each Council.	A range of feedback topics given with no changes.
Transformation Joint Working Group	Endorsed business case for consideration by JCC with minor amendments.
Joint Commissioning Committee	Endorsed business case for staff consultation.

- 5.1 Both Councils are committed to maintaining a strong, positive and inclusive approach to industrial relations. With this in mind, it is important to explain at the outset that consultation with the affected staff and trade union representatives takes place prior to members' consideration of any business case or restructure so that members can take account of any views/representations and /or issues as part of their decision making process.
- 5.2 The manner of consultation helps to reassure the affected staff and trade unions that they do have a voice that will be heard by those who are responsible for making decisions. The timing, extent and approach adopted towards consultation are an important part of the process, particularly as the intention is always to facilitate a meaningful consultation dialogue.
- 5.3 Consultation with all employees in scope of the proposed business case to create a two way shared Joint Public Protection Service team and the Unison representatives both Councils commenced on Friday 20 November 2015, and run for a three week period, until Friday 11 December 2015 at 5pm.
- 5.4 The consultation log attached as exempt Appendix 2 therefore includes the responses to the consultation between these periods of time
- 5.5 The only changes to the business case arising from the consultation process relate to amending the structure diagram to provide clarity on variations within posts: revised savings tables to provide greater clarity, minor changes to working hours and relatively minor matters of accuracy relating to job descriptions.
- 5.6 We would like to thank all the staff who contributed to the consultation process which enabled us to update the business case.
- 5.7 During the consultation period various forms of consultation have taken place to ensure that each employee and the recognised trade unions have had the opportunity to engage in the process, and to express their views/representations on behalf of their members, notably through:
- Employee briefing meetings were held at each councils offices to ensure that as far as possible, all of the affected staff received the same message at the same time;
 - Meetings with individuals;
 - Maintenance of an active consultation log.
 - Personal issues dealt with by email or one to one discussion.
- 5.8 The consultation log of comments made by the affected staff and/or their trade union representatives, and the response of management is attached at Appendix 2 for members' consideration. In total, to date, we have received and responded to 33 questions seeking clarification on particular issues or simply making statements. The responses received are summarised in the table below:

Category	No of Responses	Comments
Assimilation and Ring – Fence	2	Responded to questions regarding process – no changes.

Business Case	18	Q6 revised savings table Q16 Review Job descriptions and change Q17 Review Job descriptions and change
Democratic Processes and Consultation Issues	2	Q22 Review job descriptions for consistency
Job Descriptions and Job Roles	4	Q25 Review Job Descriptions and change
Proposed Working Arrangements	1	Responded to questions – no changes. Precise operational arrangements to be determined by the team managers when appointed.
Service Structure	5	Q31 Review Trainee Technical Post and change
Terms and Conditions	1	Responded to question – no changes.

- 5.9 During the consultation process, four members of staff requested they be considered for voluntary redundancy. As these staff are proposed to be either assimilated into the proposed structure or are ring fenced for appropriate posts, these redundancies would not be in the interests of the service and are not recommended for support.

6.0 Implications

Financial & Resource Implications

- 6.1 The detailed financial implications are set out in section 17, 18 and 19 of the business case. However in summary, the proposal will deliver a £183,750 net saving per annum (with a reduction for transitional funding for one temporary post for the first year only whilst the harmonisation of processes and systems are embedded to deliver the longer term cost efficiencies). The savings are achieved predominantly through removing currently vacant posts from the existing structure as a result of interim arrangements.
- 6.2 The gross savings represents a 12.5% reduction on current salary costs.
- 6.3 Based on the cost allocation model the proposal results in a saving of £129,268 for CDC and £54,479 for SNC. The cost allocation model is detailed in section 18.2 of the business case.
- 6.4 There could be redundancy or pay protection costs as a result of implementing the proposal. Implementation costs are outlined in section 17 of the business case and should be split equally between the two Councils, with the costs being funded through earmarked reserves.

Comments checked by:
Martin Henry, Director of Resources, 0300 003 0102

martin.henry@cherwellandsouthnorthants.gov.uk

Legal Implications

- 6.5 As with all two way shared services this proposal, if implemented, will be covered by the section 113 agreement (as amended) entered into between the two Councils.
- 6.6 Decisions regarding human resources cannot be made by CDC Executive or SNC Cabinet. Human resource elements of the business case are considered by the Joint Commissioning Committee. The business case must be approved by CDC Executive and SNC Cabinet in respect of non-staffing matters and by the Joint Commissioning Committee in respect of staffing matters before the Councils can be deemed to have approved the business case.
- 6.7 A redundancy situation arises where the requirement of the employing council for work of a particular kind to be undertaken are expected to cease or diminish as a result of the proposed changes.

Comments checked by:

Kevin Lane, Head of Law & Governance, 0030 003 0107

Kevin.Lane@cherwellandsouthnorthants.gov.uk

HR Implications

- 6.8 It is the traditional approach of CDC and SNC to consult staff and the trade unions on a detailed staffing structure arising from any business case for change, prior to consideration by members. This has the effect of enabling members to consider the views and any representations of the staff and trade unions before making their final decision on any such proposals, and ultimately ensures that the Councils meet their statutory obligations to undertake a meaningful process of consultation prior to a decision being made.
- 6.9 This model has the advantage of allowing staff to identify whether their existing jobs will be deleted; to consider the detailed job descriptions of any proposed new roles and to identify whether there are any opportunities for promotion or other career aims to be met. They can see whether their hours of work might alter, whether their salaries will change (up or down), or whether their work location will change. They are able to comment upon the proposals in the knowledge that members will give due regard to their comments before making a decision.
- 6.10 The expectation is that existing staff would continue to be employed by their current, respective authority under the pay, and terms and conditions of that employing organisation. New and revised job descriptions have been devised in order to standardise responsibilities across the two organisations. The new job descriptions have been through the job evaluation process at each organisation.
- 6.11 The implementation process will be in accordance with the joint Organisational Change policy. This includes the potential of a proposed compulsory redundancy situation for a part time employee.

Comments checked by:

Claire Cox; HR Business Partner

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7.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

Cherwell - A district of opportunity.

South Northamptonshire - Secure a prosperous and sustainable future.

Lead Councillor

Cherwell – Councillor Tony Ilott, Lead Member for Public Protection

South Northamptonshire – Councillor Dermot Bambridge, Portfolio Holder for Environmental Services

Document Information

Appendix No	Title
1.	A Joint Public Protection Service Business Case - Exempt
2.	Final Consultation Log with actions - Exempt
Background Papers	
None	
Report Authors	Ian Davies – Director of Operational Delivery
Contact Information	03000 030101 ian.Davies@cherwellandsouthnorthants.gov.uk

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of the Local Government Act 1972.

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