



MEETING : HUMAN RESOURCES COMMITTEE
VENUE : COUNCIL CHAMBER, WALLFIELDS, HERTFORD
DATE : WEDNESDAY 14 JANUARY 2015
TIME : 3.00 PM

PLEASE NOTE TIME AND VENUE

MEMBERS OF THE COMMITTEE

Councillors G McAndrew (Chairman), P Ballam, Mrs D Hone, J Ranger,
P Ruffles, J Thornton and N Wilson

Substitutes

Conservative Group: Councillor A Warman
Group of Independents:

*(Note: Substitution arrangements must be notified by the absent Member
to Democratic Services 24 hours before the meeting)*

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DISCLOSABLE PECUNIARY INTERESTS

1. A Member, present at a meeting of the Authority, or any committee, sub-committee, joint committee or joint sub-committee of the Authority, with a Disclosable Pecuniary Interest (DPI) in any matter to be considered or being considered at a meeting:
 - must not participate in any discussion of the matter at the meeting;
 - must not participate in any vote taken on the matter at the meeting;
 - must disclose the interest to the meeting, whether registered or not, subject to the provisions of section 32 of the Localism Act 2011;
 - if the interest is not registered and is not the subject of a pending notification, must notify the Monitoring Officer of the interest within 28 days;
 - must leave the room while any discussion or voting takes place.

2. A DPI is an interest of a Member or their partner (which means spouse or civil partner, a person with whom they are living as husband or wife, or a person with whom they are living as if they were civil partners) within the descriptions as defined in the Localism Act 2011.

3. The Authority may grant a Member dispensation, but only in limited circumstances, to enable him/her to participate and vote on a matter in which they have a DPI.

4. It is a criminal offence to:

- fail to disclose a disclosable pecuniary interest at a meeting if it is not on the register;
- fail to notify the Monitoring Officer, within 28 days, of a DPI that is not on the register that a Member disclosed to a meeting;
- participate in any discussion or vote on a matter in which a Member has a DPI;
- knowingly or recklessly provide information that is false or misleading in notifying the Monitoring Officer of a DPI or in disclosing such interest to a meeting.

(Note: The criminal penalties available to a court are to impose a fine not exceeding level 5 on the standard scale and disqualification from being a councillor for up to 5 years.)

Audio/Visual Recording of meetings

Everyone is welcome to record meetings of the Council and its Committees using whatever, non-disruptive, methods you think are suitable, which may include social media of any kind, such as tweeting, blogging or Facebook. However, oral reporting or commentary is prohibited. If you have any questions about this please contact Democratic Services (members of the press should contact the Press Office). Please note that the Chairman of the meeting has the discretion to halt any recording for a number of reasons, including disruption caused by the filming or the nature of the business being conducted. Anyone filming a meeting should focus only on those actively participating and be sensitive to the rights of minors, vulnerable adults and those members of the public who have not consented to being filmed.

AGENDA

1. Apologies

To receive apologies for absence

2. Minutes (Pages 7 - 16)

To receive the Minutes of the meeting held on 22 October 2014

3. Declarations of Interest

To receive any Member's Declaration of Interest.

4. Chairman's Announcements

5. Pay Policy Statement 2015/16 (Pages 17 - 34)

6. Equality and Diversity 2014/15 (Pages 35 - 78)

7. Home Workers' Sickness Absence (Pages 79 - 84)

8. Human Resources Management Statistics: Quarterly Performance (Pages 85 - 96)

9. Local Joint Panel - Minutes of the meeting: (Pages 97 - 102)

Members are asked to bring with them their copy of the agenda of the Local Joint Panel meeting held on 3 December 2014.

(A) General Leave Policy_(Pages 103 - 122)

(B) Carers Policy_(Pages 123 - 134)

(C) Retirement Policy_(Pages 135 - 166)

(D) Revised Flexible Working Policy

10. Urgent Business

To consider such other business as, in the opinion of the Chairman of the meeting, is of sufficient urgency to warrant consideration and is not likely to involve the disclosure of exempt information.

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MINUTES OF A MEETING OF THE
HUMAN RESOURCES COMMITTEE HELD
IN THE COUNCIL CHAMBER,
WALLFIELDS, HERTFORD ON
WEDNESDAY 22 OCTOBER 2014, AT 3.00
PM

PRESENT: Councillor G McAndrew (Chairman)
Councillors P Ballam, Mrs D Hone, P Ruffles,
J Thornton, A Warman and N Wilson

ALSO PRESENT:

Councillors C Woodward

OFFICERS IN ATTENDANCE:

Lorraine Blackburn	- Democratic Services Officer
Emma Freeman	- Head of People and Property Services
Nikki Roberson	- Corporate Project Co-Ordinator

305 PAY POLICY UPDATE

The Head of People and Property Services submitted a report on the Pay Policy Statement, produced annually as required by the Localism Act 2011 (Sections 38 – 43).

The Head of People and Property Services advised that the report was being submitted to Members following recently agreed changes to the Council’s management structure, the detail of which was set out in the report now submitted.

The Head of People and Property Services advised that Councillor J Ranger was not in attendance, but had asked that the rate at which apprentices were paid be reviewed.

The Committee recommended approval of the report, as now submitted, to Council.

RECOMMENDED – that the Pay Policy Statement 2014/15, as now submitted, be approved.

306 APOLOGIES

An apology for absence was submitted from Councillor J Ranger. It was noted that Councillor A Warman was substituting for him.

307 MINUTES

RESOLVED - that the Minutes of the meeting held on 18 August 2014 be confirmed as a correct record and signed by the Chairman.

308 EQUAL PAY AUDIT 2014

The Head of People and Property Services submitted a report detailing the outcome of an Equal Pay Audit completed in September 2014. She explained that the full Equal Pay Audit was available on request. The Head of People and Property Services provided the background and the methodology behind the Audit and its key findings which had revealed nothing of concern.

It was noted that, to date, the recommendation to introduce a new Human Resources IT system to enable pay data to be analysed in more detail had not been implemented.

In response to a query from the Chairman regarding feedback on the disability target, the Head of People and Property Services explained that this might be because staff chose not to declare any disability on the survey.

Councillor P Ruffles referred to the need to focus on areas such as faith and sexual orientation which could be a focus of discrimination. The Chairman reminded Members that discrimination was not always physical (e.g. mental health) and of the perceived stigma which might result if this was

declared.

In response to a query from Councillor P Ballam regarding the definition of disability, Members were reminded that there was a clear definition of disability as set out in statute. The Chairman asked that this be circulated to Members.

The Head of People and Property Services referred to the recommendations set out in the report and as now submitted. These were supported.

RESOLVED – that (A) the results of the Equal Pay Audit 2014 be noted;

(B) the Job Evaluation Scheme be reviewed;

(C) a new HR IT system be introduced in time for the next scheduled Equal Pay Audit;

(D) the Local Award be reviewed;

(E) Equal Pay Audits (EqPAs) be carried out every two years in line with published guidance to ensure compliance with the Equality Act 2010; and

(F) Weekend Enhancements be reviewed to reflect current market practices.

309 SICKNESS ABSENCE MANAGEMENT APRIL 2013 - 31 MARCH 2014

The Head of People and Property Services submitted a report on absence levels and an analysis of short and long term sickness for 2013/14. The report also considered current and proposed initiatives to reduce absence.

The Head of People and Property Services drew Members' attention to the comparative overview of sickness absence since 2009/10. To date, the Council showed a total of 5.89 days against a target of 7.5 days. It was noted that short term absence had increased in 2013/14 from 4.5 days to 4.6 days but there had been a decrease in long term absence from

1.70 days to 1.26 days. The Head of People and Property Services provided a breakdown of short term and long term sickness by reason and service headcount. She advised Members that staff who had referred to stress and depression as a reason for sickness, were immediately referred to Occupational Health.

The Head of People and Property Services referred to comparative figures on home workers and office based staff sickness absence which in 2013/14 had shown no differential between the two groups (home workers 4.8 days per FTE compared to 4.71 days for office based staff). She stated that it was common to expect to see a reduction in sickness absence for home workers but that this had not been the case for East Herts. Members supported the suggestion that home workers' sickness be reviewed.

The Head of People and Property Services provided a summary of the costs associated with Occupational Health and the Employee Assistance Programme (EAP). She referred to the new Absence Management Policy which had recently been introduced.

In response to a query from Councillor P Ruffles regarding age related sickness absence levels, the Head of People and Property Services confirmed that Human Resources (HR) did not collate age related sickness data.

Councillor A Warman suggested that it might be useful if staff were to have flu vaccinations to lessen the impact of sickness over the winter months.

The Head of People and Property Services reminded Members that targets for 2014/15 had been approved by Members on 16 April 2014 and that the Absence Management Policy had been recently rolled out. In terms of stress related sickness cases, it was recommended that the Council should continue to support employees through the Employee Assistance Programme. This was supported. It was also noted that a programme to support Health and Wellbeing had been designed and would be delivered to managers and staff in 2014/15.

The Committee noted the report and the approved the actions now proposed.

RESOLVED – that (A) sickness absence be noted;

(B) employees suffering from stress related sickness continue to be supported through the Employee Assistance Programme (EAP); and

(C) home workers' sickness absence data be reviewed and reported back to Members.

310 HUMAN RESOURCES MANAGEMENT STATISTICS - QUARTERLY REPORT

The Head of People and Property Services submitted a report setting out Human Resource indicators for the period 1 April 2014 – 30 September 2014. The Head of People and Property Services suggested that the usual Human Resources Quarterly Performance report be integrated within the Human Resources Management Statistics report as now submitted, in order to avoid duplication of effort. This was supported.

The Head of People and Property Services advised that based on the current figures, the projected turnover for 2014/15 was 8.6% which was below the target of 10%. Current voluntary leavers' rate was projected to be 6.9% against a target of 7%. Updates were provided in terms of posts filled both internally and externally.

The Head of People and Property Services explained that short term sickness per full time equivalent (FTE) for the year was 2.74 days against a target of 4.5 days and current projected long-term sickness absence per FTE for the year was 1.2 days against a target of 2 days. During the period in question, there had been 25 new starters to the Council.

Statistics were provided in relation to equalities monitoring; 3.98% of staff had declared a disability against a target of 5.2%; the target for those staff described as from black and

minority ethnic origin was 2.83% against a target of 5.45%. It was noted that women made up 68.95% of the total workforce; of that figure, 29.4% women were representative on Senior Management Group.

The Head of People and Property provided an update in relation in the supplementary report to this item on Personal Development Reviews (PDRs) which set out in further detail, which sections were achieving the Council's 100% completion target in terms of the full year review (2013/14), mid-year review (2014/15) and objective setting (2014/15).

The Head of People and Property Services stated that, while there were four sections not achieving 100%, of particular concern were Planning and Building Control and Community Safety and Health Services. The respective heads of service had been already been approached and concerns had been expressed by Human Resources. Possible reasons for non-achievement of a 100% PDR return by those sections were discussed.

The Head of People and Property Services stated that overall, the returns of PDRs was much improved and welcomed. She felt that this had been helped by a greater focus by managers on the process, facilitated by an on-going interest shown by Members and their concerns about the PDR process.

The reporting timelines of the PDR process were considered. The Head of People and Property Services agreed to email Members with a "snapshot" of PDRs at the end of each July and January.

The Committee received the report.

RESOLVED – that (A) the Human Resource Quarterly Management Statistics, as now submitted, be received;

(B) the Human Resource quarterly performance report be assimilated into the Human Resource Management Statistics quarterly report with immediate effect; and

(C) the Head of People and Property Services email

Members with a “snap shot” of PDR returns in July and January each year.

311 POLICY DEVELOPMENT PLAN 2014/15

The Head of People and Property Services submitted a report on the Policy Development Plan for 2014/15. A list of policies which required revision, their progress and reasons for change were set out in the report as now submitted. The Head of People and Property Services referred to a new policy which was being developed around the carer’s role following feedback from the Health and Wellbeing Panel. It was noted that negotiations were continuing with Unison in regard to the Redeployment, Expenses and the Retirement Policies.

In response to a query from Councillor P Ruffles, the Head of People and Property Services explained the principles underpinning the Professional Career and Vocational Study Policy which had been developed to help staff in supporting their career development.

The Committee approved the report.

RESOLVED - that the Policy Development Plan, as now submitted, be approved.

312 LOCAL JOINT PANEL - MINUTES OF THE MEETING: 18 AUGUST 2014

RESOLVED - that the Minutes of the Local Joint Panel meeting held on 18 August 2014 be received.

313 "HERE TO HELP" PROGRAMME

The Head of People and Property Services submitted a report detailing the progress of the “Here to Help” programme which had been set up in January 2014. The Corporate Project Co-ordinator explained that managers and staff had attended workshops in April, May and June 2014 and identified ideas and suggestions aimed at a local, service and corporate level around working together to make a difference, the detail of

which was set out in the report now submitted.

Councillor P Ruffles welcomed the programme and asked if there were plans to sell the approach or share the information with other authorities and cited the Environmental Agency as an example. The Corporate Project Co-ordinator said that the programme was only in its initial phasing but could be developed further working with external partners.

The Head of People and Property Services stated that Human Resources would be looking at particular sections with a view to increasing awareness.

Councillor C Woodward referred to previous initiatives to encourage improved service delivery such as “Changing the Way We Work”, and the FISH Programme which he said, had faded away. He was concerned that what was now being proposed was yet another panacea when he believed, the previous schemes had not been delivered. He suggested that it could be useful to develop the “Here to Help” approach in Councillors’ Development Programmes and also externally, to include Parishes. Councillor Woodward referred to the shared services and the different cultures of each Council.

The Head of People and Property Services stated that the approach aimed to allow staff to lead the process and enable change. Councillor Woodward urged Members to listen to feedback.

The Chairman stated that the Council’s position in 2007 was completely different to how it was now. He praised the on-going work.

The Committee received the report.

RESOLVED – that the update on “Here to Help” Programme for September 2014 be received.

The meeting closed at 4.25 pm

Chairman

Date

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EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

COUNCIL - 18 FEBRUARY 2015

REPORT BY HEAD OF PEOPLE AND PROPERTY SERVICES

PAY POLICY STATEMENT 2015/16

WARD(S) AFFECTED: NONE

Purpose/Summary of Report

To approve the Pay Policy Statement 2015/16

RECOMMENDATIONS FOR HUMAN RESOURCES COMMITTEE:

That:

(A)	The Pay Policy Statement 2015/16 be recommended for approval
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RECOMMENDATION FOR COUNCIL:

That:

(A)	The Pay Policy Statement 2015/16 be approved
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1.0 Background

1.1 A pay policy statement is required to be produced annually under sections 38 to 43 of the Localism Act 2011. Regard is to be had to guidance section 40 from the Secretary of State in producing this statement.

1.2 A pay policy statement for a financial year must set out the Authority's policies for the financial year relating to:

- the remuneration of chief officers

- the remuneration of the lowest paid employees
- the relationship between chief officers remuneration and that of other officers

1.3 The statement must include the authority's policies relating to:

- a) the level and elements of remuneration for each chief officer
- b) remuneration of chief officers on recruitment
- c) increases and additions to remuneration for each chief officer
- d) the use of performance related pay for chief officers
- e) the use of bonuses for chief officers
- f) the approach to the payment of chief officers on their ceasing to hold office under or to be employed by the authority, and
- g) the publication of and access to information relating to remuneration of chief officers.

1.4 The term 'remuneration' covers:

- a) the chief officers salary or, in the case of chief officers engaged by the authority under a contract for services,
- b) payments made by the authority to the chief officers for those services
- c) any bonuses payable by the authority to the chief officers
- d) any charges, fees or allowances payable by the authority to the chief officers
- e) any benefits in kind to which the chief officers are entitled as a result of the chief officer's office or employment
- f) any increase in or enhancement of the chief officer's pension entitlement where the increase or enhancement is as a result of a resolution of the authority, and
- g) any amounts payable by the authority to the chief officers on the chief officers ceasing to hold office under or be employed by the authority, other than amounts that may be payable by virtue of any enactment.

1.5 A pay policy statement for a financial year may also set the Authority's policies for the financial year relating to the other terms and conditions applying to the authority's chief officers.

1.6 The Secretary of State published 'The Code of Recommended Practice for Local Authorities on Data Transparency' on 29 September 2011. The Code enshrines the principles of transparency and asks councils to follow three principles when

publishing data they hold; responding to public demand; releasing data in open formats available for re-use; and, releasing data in a timely way. This includes data on senior salaries and the structure of their workforce. The pay policy statement has been written using these principles.

1.7 The Department for Communities and Local Government published 'Openness and Accountability in Local pay: Guidance under Section 40 of the Localism Act 2011' in February 2013. The pay policy statement has been written taking into consideration this guidance.

1.8 The Pay Policy statement has been written to support the requirements under the Local Government Transparency Code 2014 to publish data on Senior Salaries and Pay Multiple.

2.0 Report

2.1 Pay Policy Statement 2015/16 (Essential Reference Paper B).

3.0 Implications/Consultations

3.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper 'A'**.

Background Papers

None

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives <i>(delete as appropriate):</i>	People This priority focuses on enhancing the quality of life, health and wellbeing of individuals, families and communities, particularly those who are vulnerable.
Consultation:	The Pay Policy statement has been consulted with SMG
Legal:	The Pay Policy statement has been written using the principles of The Code of Recommended Practice for Local Authorities on Data Transparency. The Department for Communities and Local Government published 'Openness and Accountability in Local pay: Guidance under Section 40 of the Localism Act 2011' in February 2013. The pay policy statement has been written taking into consideration this guidance. The Pay Policy statement has been written to meet the requirements under the Local Government Transparency Code 2014 to publish data on Senior Salaries and Pay Multiple.
Financial:	As detailed in the report
Human Resource:	As detailed in the report. The Council's reward strategy supports the People Strategy currently being reviewed.
Risk Management:	None
Health and Wellbeing:	None

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Essential Reference Paper “B”

Pay Policy Statement 2015/2016 March 2015

Status of this statement

A pay policy statement is required to be produced annually under section 38 of the Localism Act. Regard is to be had to any guidance from the Secretary of State in producing this statement.

Any decision under powers delegated in the Council’s Constitution with regard to remuneration to be taken from 1 April 2015 to 31 March 2016 will be bound by and must comply with this Statement.

This statement supports the requirements under the Local Government Transparency Code to publish data on Senior Salaries and Pay Multiple.

The Head of Human Resources and Organisational Development Services must be consulted prior to any decision impacting on remuneration where there is any question regarding compliance with the Statement.

Coverage

This statement sets out the Council’s policy with regards to:

- the remuneration of Chief Officers
- the remuneration of the lowest paid employees
- the relationship between Chief Officers remuneration and that of other officers

“Remuneration” for the purposes of this statement includes three elements:

- basic salary
- pension
- all other allowances arising from employment

“Chief Officers” covers more than the Council’s usual definition for the purposes of this statement.

The Council regards the following as its “Chief Officers”

Chief Executive and Director of Customer and Community Services
Director of Finance and Support Services
Director of Neighbourhood Services

There is a statutory requirement that for the purposes of producing this statement the following posts (Senior Management Team) be covered by the policy statement as well as the above 3 posts.

Head of Democratic and Legal Services
Head of Human Resources and Organisational Development
Head of Strategic Finance
Head of Revenues and Benefits Shared Service
Head of Governance and Risk Management
Head of Environmental Services
Head of Business Development
Head of Customer Services and Parking
Head of Communications, Engagement and Cultural Services
Manager Economic Development
Head of Planning and Building Control Services
Head of Community Safety and Health Services
Manager of Housing Services

In this policy statement the term “Chief Officers” refers to the Chief Executive/Director and two Directors in that where there are any differences in terms of the policy it is between this group and all other employees. For the second group of posts noted above there is no differentiation between this group and all other employees.

The Policy for 2015/16

Objectives of the policy

(a) to ensure a capable and high performing workforce

In respect of Chief Officers and all other employees the Council’s policy is to set remuneration sufficient to attract and retain adequately experienced, trained and qualified individuals to deliver the Council’s priorities.

(b) simplicity, clarity and fairness between employees and between the Council and the community.

The Council aims to be transparent on pay to its staff, prospective staff and the wider community. Therefore other than the 2% local award after 3 years service the Council does not pay any bonus, performance enhancement, hospitality or expenses allowance to any of its employees. This approach avoids processing costs of multiple allowance schemes and is fair in that “status” is never a determinant of entitlement to benefits or allowances.

(c) To differentiate between remuneration and other employee related expenses.

The Council will meet or reimburse authorised travel, accommodation and subsistence costs for attendance at approved business meetings and training events. The Council does not regard such costs as remuneration but as non pay operational costs. This policy is applied consistently to Chief Officers and other employees.

Remuneration subject to national and local determination

The national context

Pay bargaining

The Council is a member of the local government employers association for national collective bargaining in respect of Chief Officers and other employees. There are separate negotiations and agreements in respect of each of these three groups. Changes from national negotiations generally take effect from 1 April each year and are retrospective to 1 April where agreements are struck later than 1 April. It is the Council's policy to implement national agreements. Chief Officers are under the JNC conditions of service including pay. All other employees are under the NJC national agreement on pay and conditions of service.

National Pay Awards for Chief Officers was last increased in April 2008 and of other staff in January 2015. Non-Consolidated payments were made to staff on SCP 6 to 66 in December 2014 and SCP 26 to 66 in April 2015 in accordance with the NJC pay award 2014-16.

In addition to pay the national agreements cover other terms and conditions such as annual leave and allowances for use of private vehicles on council business. The Council pays car allowances in accordance with these national scales which are the same for Chief Officers and other staff.

The current rates (which were last increased in April 2009) are:

Essential User Rates	451 - 999cc	1000 - 1199cc	1200 & Above
Lump sum per annum (Monthly payment pro rata)	£846 £70.50	£963 £80.25	£1,239 £103.25
Per mile - first 8,500 miles (Monthly mileage pro rata)	36.9p	40.9p	50.5p
Per mile - after 8,500 miles	13.7p	14.4p	16.4p
Amount of VAT per mile in Petrol element	1.5670p	1.7270p	1.88101p

Casual User Rates			
Per mile - first 8,500 miles (Monthly mileage pro rata)	46.9p	52.2p	65.0p
Per mile - after 8,500 miles	13.7p	14.4p	16.4p
Amount of VAT per mile in Petrol element	1.5670p	1.7270p	1.88101p

The Local Government Pension Scheme and policy with regard to the exercise of discretions

Pension provision is an important part of the remuneration package.

All employees may join the local government pension scheme. The scheme is a statutory scheme with contributions from employees and from employers. For more comprehensive details of the local government pension scheme see:

<http://www.lgps.org.uk/lge/core/page.do?pagelid=1>

All Employees over 22 years of age, but below state pension age and earn more than the qualifying annual salary currently £10,000 per annum will automatically be enrolled into the LGPS pension scheme.

Neither the scheme nor the Council adopt different policies with regard to benefits for any category of employee: the same terms apply to the Chief Officers and other staff.

East Herts Council as an employer is under a legal duty to prepare and publish a written statement of its policy relating to certain discretionary powers under the Regulations which apply to the Local Government Pension Scheme ("the LGPS"). The scheme provides for the exercise of discretion that allow for retirement benefits to be enhanced. The Council will consider each case on its merits but has determined that its usual policy is not to enhance benefits for any of its employees. The Policy on Exercise of Employer Discretions reaffirms this in respect of Chief Officers and other employees.

The pension scheme provides for flexible retirement. In applying the flexible retirement provision no distinction is made between the Chief Officers and other employees. The scheme requires that a minimum permanent reduction in working hours of 25% is made and/or there is a reduction in grade and that any consequential payments to the pension fund are recoverable in three years with the discretion to extend the three years in exceptional circumstances. The Council's Human Resources Committee will consider requests from a Chief Officer and directors will consider requests from other employees.

Local variations and allowances

Pay evaluation and the local award

All employees other than Chief Officers have their basic pay determined by a job evaluation scheme (the Hay scheme) which ensures that different jobs having the same value are paid at the same rate. The “job score” determines the pay scale for the job range within which there is provision for progression by annual increments until the top of the pay scale is reached. Most pay grades have 6 SCP increments.

A benchmarking exercise for Chief Officers using the HayGroup job evaluation scheme was completed in October 2012.

All employees other than Chief Officers currently become eligible for a 2% Local Award in addition to basic pay on completion of 3 years satisfactory service.

Chief Officers are paid a fixed spot salary with no provision for incremental progression or additional payment on completion of a period of service.

Allowances on appointment

The Council’s policy is to not pay any form of “signing on” fee or incentive payment when recruiting.

Where it is necessary for a newly appointed employee to relocate to take up appointment the Council may make a contribution towards relocation expenses.

The same policy applies to, Chief Officers and other employees in that payment will be made against a range of allowable costs for items necessarily incurred in selling and buying a property and moving into the area.

The costs include estate agents fees, legal fees, stamp duty, storage and removal costs, carpeting and curtains, short term rental etc. The council will pay 80% of some costs and 100% of others or make a fixed sum available.

If an employee leaves within three years of first employment they normally will be required to reimburse a proportion of any relocation expenses.

Details of the full scheme can be found in the Council’s Relocation Policy.

Redundancy payments and payments on termination

The Council has a single redundancy scheme which applies to all employees without differentiation. The Council does not provide any further payment to employees leaving the Council’s employment other than in respect of accrued leave which by agreement is untaken at the date of leaving. Where

termination of employment is subject to a settlement agreement that agreement may include a negotiated payment in exchange for which the employee undertakes not to pursue claims against the Council. The relevant Director in respect of other employees and the Human Resources Committee in respect of a Chief Officer shall only approve such payments where having regard to all the circumstances of the case and in particular the potential costs of alternative action and after taking appropriate advice they determine the sum involved is reasonable.

The redundancy payment is based on the length of continuous local government service which is used to determine a multiplier which is then applied to actual pay. The maximum number of years service taken into account is 20 and the resulting maximum payment is 78 weeks pay for anyone aged 61 or older. Details of the full scheme can be found in the Council's Redundancy Policy.

Additional Payments, Professional fees and subscriptions.

The Council will meet the cost of a legal practicing certificate for all those employees where it is a requirement of their employment. No other professional fee or subscription is paid. The Council makes this distinction on the basis of the relative cost to the employee and does not differentiate between Chief Officers and other staff.

At December 2014, three employees receive this benefit one of whom is the Director of Neighbourhood Services as monitoring officer.

The post designated as the Council's S151 Officer will receive a payment of up to £10,000 per year.

The post designated as Monitoring Officer will receive a payment of up to £10,000 per year.

The post designated Head of Paid Service will receive a payment of up to £10,000 per year.

Provided that no one officer will receive more than one of the above additional payments.

Where any Head of Service post is evaluated at a level which the "Chief Executive and Director of" determines to be significantly above the level recognised by the evaluation scheme an addition of up to 10% base pay may be paid subject to annual review.

This pay statement does not include the Returning Officer payment (see report to Council February 2007).

Higher level car user allowance

The Council has set a threshold of 2000 miles per year of business travel at which the higher rate of allowance the “Essential User Allowance” becomes payable. This threshold applies to Chief Officer as to all other employees.

Setting Salaries

For the posts of

Chief Executive and Director of Customer and Community services
Director of Finance and Support Services
Director of Neighbourhood Services

The Council will normally use external advisers when making an appointment. A major input from the adviser is information and advice as to the appropriate level at which to pitch the salary to be successful in recruiting. This statement is part of the process by which these salaries are reviewed. Fixed spot salaries will be set informed by the HayGroup Report on Senior Pay at East Herts Council (October 2012) as benchmarking information.

As part of the general review of all employees' terms and conditions agreement was reached to forgo the first 2% of any future pay award arising from national agreements for the Chief Executive and Director of Customer and Community services and Director of Neighbourhood Services posts.

In respect of new appointments above the salary of £100K full council approval will be sought.

Pay ceilings

For 2015/16 the basic pay ceiling for Chief Executive and Director of Customer and Community services post will be £115,000 per annum (i.e. including additional payment for Head of Paid Service) The salary shall not be increased by any national pay settlement for at least two years from 1 April 2013.

The basic pay ceiling (i.e. including additional payments and professional fees where appropriate) for Director posts will be £90,000. As noted above national agreed pay settlements will be applied. For other posts covered by this statement the pay ceiling will be

Post	£
Head of Democratic and Legal Services	57,239
Head of Human Resources and Organisational Development	57,239
Head of Strategic Finance	57,239
Head of Governance and Risk Management	57,239
Head of Environmental Services	57,239

Head of Business Development	57,239
Head of Customer Services and Parking	57,239
Head of Communications, Engagement and Cultural Services	57,239
Head of Revenues and Benefits Shared Services	57,239
Manager Economic Development	34,746
Head of Planning and Building Control Services	57,239
Head of Community Safety and Health Services	57,239
Manager of Housing Services	57,239

Head of Revenues and Benefits post receives 10% of base salary per annum for shared services role.

Pay floor

The pay floor is the remuneration of the lowest paid employees. “Lowest paid” is defined as the average pay of the 1.39% (5 individuals) of the Council’s employees with the lowest hourly rate. Where any employee is less than full time their pay is multiplied up to full time and the aggregate full time equivalent pay for the group divided by 5 to determine the average.

This definition of lowest paid is used to capture a meaningful number of employees avoiding distortions of a lesser number or an extended group such as lowest quartile which would require excessive averaging.

As at December 2015 this average was £16,392.20.

The Council will not pay basic pay less than the amount applicable to the bottom point of the national pay scales as agreed from time to time by the local government employers. Employees in this group will be entitled to all other benefits – fringe payments, local allowance (2%), casual/essential car allowances, pension, relocation, redundancy as all other employees.

Pay multiples

The council does not explicitly set the remuneration of any individual or group of posts by reference to a simple multiple of another post or group of posts. The use of multiples cannot capture the complexities of a dynamic and highly varied workforce in terms of job content and skills required. Nor does it readily address the treatment of in house provided as against labour intensive bought in services if pay multiples are used as some sort of benchmark.

In terms of overall remuneration packages the Council’s policy is to differentiate by setting different levels of basic pay to reflect differences in responsibilities but not to differentiate on other allowances, benefits and payments it makes.

The Council would not expect the remuneration of its highest paid employee to exceed 10 times that of the lowest group of employees.

Heads of Service reporting to Directors are paid basic salaries in a range of £47,056 to £57,239. There are 11 such posts.

Other than Chief Officers pay ranges are as follows

Grade	Minimum £	Maximum £	Median £	Median on all elements of remuneration*	Number of employees in the grade band **
1/2	13,614	17,372	15,207	16,084	3.01
3	16,231	19,742	17,372	18,292	49.34
4	17,372	21,530	19,048	20,002	15.73
5	19,742	24,472	21,530	22,534	79.32
6	21,530	27,123	23,698	24,745	24.05
7	24,472	30,178	27,123	28,238	38.16
8	28,746	32,778	30,178	31,355	20.97
9	30,178	34,746	31,846	33,056	35.53
10	35,662	40,217	37,483	38,805	19.14
11	37,483	42,053	39,267	40,625	11.08
12	42,053	52,048	47,326	48,845	3.00
13	47,056	57,239	52,850	54,480	10.75
Total					310.08

* median point plus all elements of remuneration by grade which includes local weighting, 2% Local Award and additional pay.

** Full Time Equivalent (excludes Casuals)

The Apprenticeship rate for the Council is Grade 1/2 commencing on scale point 6 (£13,614).

Future appointments and interim arrangements

In the event of a vacancy, Chief Officer or other employee the arrangements set out above will apply in respect of permanent appointments.

If the need arises to provide agency or interim cover the policy is to seek to cap the cost of that appointment at no more than that of the permanent appointment taking into account additional employment costs – pension contributions, national insurance, paid leave etc. However, where necessary a higher “market rate” will be paid to secure a suitable individual and market rate will be established by reference to soft market testing, external advice and dialogue with peer authorities.

Publication and access to information

The publication of and access to information relating to remuneration of Chief Officers will be set out in this document and published on the Council's website.

Responsibilities (as required by Local Government Transparency Code)
Data as at December 2014
Budget: 2015/16

Chief Executive and Director of Customer and Community services

Services/functions: Business Development; Communications, Engagement and Cultural Services; Economic Development; Environmental Services and Leisure; Customer Services, Information and Parking
Budget: TBC
Staff headcount: 96

Director of Finance and Support Services

Services/functions: Strategic Finance; Governance and Risk Management; Democratic and Legal Services; Human Resources and OD; Revenues and Benefits Shared Service; ICT Shared Service; SIAS
Budget: TBC
Staff headcount: 150

Director of Neighbourhood Services

Services/functions: Planning and Building Control; Community Safety and Health; Housing Services; PA team
Budget: TBC
Staff headcount: 113

Head of Democratic and Legal Services

Services/functions: Committee Support; Elections; Legal; land Charges
Budget: TBC
Staff headcount: 18

Head of Human Resources and Organisational Development

Services: HR Policy development; HR Services; Payroll; Training; Organisational Development
Budget: TBC
Staff headcount: 7

Head of Strategic Finance

Services/functions: Technical Accountancy; Management Accountancy; Treasury Management; Property; Asset Management; Property Investment
Budget: TBC
Staff headcount: 13

Head of Revenues and Benefits Shared Service

Services/functions: Revenue; Benefits; Systems and Support, Control and Fraud
Budget: TBC
Staff headcount: 91

Head of Governance and Risk Management

Services/functions: Risk; Procurement; Facilities Management; Health and Safety; Audit Champion; Transactional Finance; Insurance

Budget: TBC
Staff headcount: 21

Head of Environmental Services

Services/functions: Waste and Recycling; Environmental Inspection; Pest Control; Animal Warden; Parks and Open Spaces; Leisure Services
Budget: TBC
Staff headcount: 33

Head of Business Development

Services/functions: BPI/BPR; Service Planning; KPIs/SLA; Management Information; Project Management; Performance; Commercialisation
Budget: TBC
Staff headcount: 6

Head of Customer Services and Parking

Services/functions: Customer Services; FOI; Data Protection; Parking; Web team
Budget: TBC
Staff headcount: 34

Head of Communications, Engagement and Cultural Services

Services/functions: Corporate Consultation; Community Engagement; Community Grants; Communications; Equalities Agenda; Sports and Arts Development; LSP/Partnerships; Hertford Theatre
Budget: TBC
Staff headcount: 20

Manager Economic Development

Services/functions: Markets; Business Advice; Town Centre Improvements; Rural Development Programme; Transport
Budget: TBC
Staff headcount: 3

Head of Planning and Building Control Services

Services/functions: Planning Services; Planning Policy; Conversation; Building Control
Budget: TBC
Staff headcount: 52

Head of Community Safety and Health Services

Services/functions: Environmental Health and Protection; Licensing; Community Safety; Emergency Planning; Empty Homes
Budget: TBC
Staff headcount: 42

Manager of Housing Services

Services/functions: Allocations; HMOs; Housing Advice; Housing Register
Budget: TBC
Staff headcount: 13

PA team

Services/functions: PA support to Executive

Budget: TBC

Staff Headcount: 6

EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

REPORT BY HEAD OF PEOPLE AND PROPERTY SERVICES

EQUALITY AND DIVERSITY ANNUAL REPORT

WARD(S) AFFECTED: NONE

Purpose/Summary of Report

To approve the Equality and Diversity Annual Report 2014/15

RECOMMENDATION FOR HUMAN RESOURCES COMMITTEE:

That:

the Equality and Diversity Annual Report 2013/14 be approved

1.0 Background

1.1 The last Equality and Diversity Annual Report was produced in 2012/13. The Equality and Diversity Annual Report 2013/14 updates the Council on equalities and diversity data.

1.2 The Equality Act (2010) consolidates the legislation for groups protected by previous equalities legislation and expanded the definition to include; age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, gender and sexual orientation. These are called 'protected' characteristics

1.3 The Equality Act 2010 (Specific Duties) Regulations 2011 require public sector bodies with more than 150 employees to publish data on equality in their workforces.

2.0 Report

2.1 Please see **Essential Reference Paper 'B'** for the full report

2.2 Recommendations

2.2.1 The recommendations from the 2013/14 Equality and Diversity Annual report are:

2.2.2 To ensure that equalities data is collected at the shortlist and interview stage for all applicants to enable a wider analysis of the equalities data.

2.2.3 To ensure that all recruitment panel members are trained in the Council's Recruitment Policy and Equal Opportunities, and that panels are balanced particularly in terms of gender.

2.2.4 To ensure that equalities data is captured for course participants attending *all* training courses, not just HR-lead courses.

2.2.5 To review data from exit questionnaires to explore why there are a disproportionate number of male leavers compared to the total number of male employees.

2.2.6 To link this work with the recommendations from the Turnover Report that was considered and approved by the Corporate Management Team in August 2014.

3.0 Implications/Consultations

3.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper 'A'**.

Background Papers - None

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Report Author:

Vicki David – HR Officer

Vicki.David@eastherts.gov.uk

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives <i>(delete as appropriate):</i>	<i>People – Fair and accessible services for those that use them and opportunities for everyone to contribute</i> This priority focuses on delivering strong services and seeking to enhance the quality of life, health and wellbeing, particularly for those who are vulnerable.
Consultation:	<i>None</i>
Legal:	The Equality Act 2010 (Specific Duties) Regulations 2011 require public sector bodies with more than 150 employees to publish data on equality in their workforces annually.
Financial:	None
Human Resource:	As detailed in the policy
Risk Management:	None
Health and wellbeing – issues and impacts:	None

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Essential Reference Paper 'B'

East Herts Council

**EQUALITY AND DIVERSITY
ANNUAL REPORT**

(EMPLOYMENT)

1 APRIL 2013 – 31 MARCH 2014

Contents	Page
1.0 Introduction	3
2.0 Summary	4
3.0 Recruitment	6
4.0 Employee Profile	12
5.0 Performance Management (PDR ratings)	20
6.0 Discipline and Grievance	27
7.0 Training Course Participants	28
8.0 Leavers	32
9.0 Recommendations	37

1.0 Introduction

- 1.1 This report provides a detailed analysis of the Council's workforce, by the protected characteristics of the Equality Act 2010.
- 1.2 The Equality Act (2010) consolidated the legislation for groups protected by previous equalities legislation. Everyone has the right to be treated fairly and the Equality Act protects people from discrimination on the basis of protected characteristics.
- 1.3 Protected characteristics include; age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, gender and sexual orientation.
- 1.4 The Equality Act 2010 (Specific Duties) Regulations 2011 require public sector bodies with more than 150 employees to publish data on equality in their workforces annually.
- 1.5 The Council is committed to comply with the Equality Act across all its services and continues to increase awareness and understanding through its policies, training and staff groups.
- 1.6 This report provides a detailed analysis of the available monitoring data for 2013/14.

2.0 Summary

2.1 Recruitment

2.1.1 In 2013/14 the Council attracted a diverse range of external applicants in terms of gender, ethnicity, age, religion and belief, and disability status which is reflective of the profile of East Hertfordshire residents.

2.2 Employee Profile

2.2.1 The Council's employee profile at the end of March 2014 is broadly reflective of the profile of the working population/residents in East Herts (or, where comparisons at this level weren't available, residents in the East of England or UK) in terms of ethnicity, religion and belief, disability and sexual orientation.

2.2.2 The areas where the employee profile is not are gender and working hours, and age.

2.2.3 With regard to gender, the Council has a significantly higher percentage of females than males (69%: 31%) compared to the working population of East Hertfordshire (51%: 49%).

2.2.4 In terms of working hours, the Council has a significantly lower percentage of full time males (27%) compared to working full time males in the East of England (48%).

2.2.5 With regard to age, almost two thirds (62.1%) of Council employees are in the 40 to 59 age range which is more than double the percentage of residents in East Hertfordshire in this age range (30%). The percentage of employees in the 65 to 75 age range is gradually increasing (2.8% in 2011/12, 4.3% in 2012/13 and 5.2% in 2013/14). This is likely to be due to the removal of the default retirement age of 65 in 2011.

2.3 Performance Management (PDR ratings)

2.3.1 The analysis of equalities data in terms of PDR ratings shows that no one group is disadvantaged by the Council's Performance Management system.

2.4 Discipline and Grievance

2.4.1 The number of disciplinary and grievance cases in 2013/14 was very small and therefore are not representative of the employee profile.

2.4.2 In 2013/14 there were only 2 employees who were subject to formal disciplinary proceedings.

2.4.3 There were no formal grievance cases.

2.5 Training Course Participants

2.5.1 An analysis of training course participants in 2013/14 shows that all groups of employees have had equal access to training courses.

2.6 Leavers

2.6.1 The report found that some categories of leavers (for example ethnicity, religion and belief, disability, and sexual orientation) in 2013/14 were reflective of the employee profile, whereas others are less so (gender and age).

2.6.2 There was a disproportionate number of male leavers however, following further analysis of the data, there does not appear to be any concerning trends with regard to service area or age.

2.6.3 There was a disproportionate number of leavers in the younger age categories (ie under 20s, 20-29 and 30-39 age ranges). Of note is that, of the total number of leavers in these age groups (19), 12 were on a fixed term contract.

3.0 Recruitment

3.1 Introduction

- 3.1.1 This section provides information on external applicants who applied for advertised jobs at East Herts Council during the period April 2013 and March 2014.
- 3.1.2 Data is only available at the applicant stage. Shortlist and Interview data is not available for 2013/14 however this data has been collected from April 2014 onwards and will be more fully reported on for the 2014/15 Annual Report.
- 3.1.3 The total number of posts advertised externally between April 2013 and March 2014 was 36. There were a total of 421 applicants.
- 3.1.4 Recruitment has been managed in-house since May 2013. A review of East Herts recruitment processes is currently being undertaken and part of this review will consider alternative service models.
- 3.1.5 Applicant data has been analysed using 5 of the 9 protected characteristics under the Equality Act 2010 as follows:
- Gender
 - Ethnicity
 - Age
 - Religion or Belief
 - Disability Status
- 3.1.6 The data has been collected from the Equal Opportunities Monitoring Forms which are part of the application form, which is detached on submission to HR.
- 3.1.7 Comparison data has been used to understand whether the Council has been successful in attracting a diverse range of

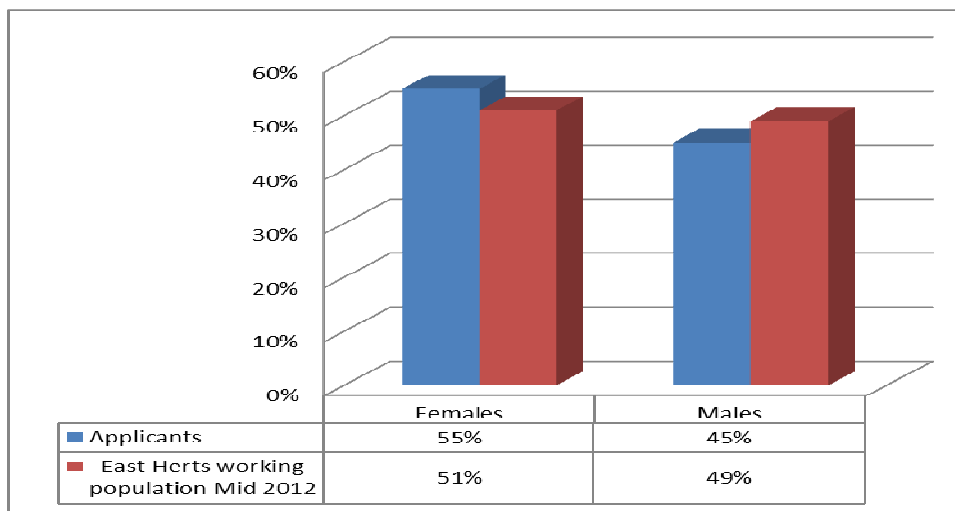
applicants that reflects the profile of the working population/residents of East Hertfordshire.

3.1.8 Most of the comparison data has been taken from the 2011 Census unless more recent data has been available. More recent data has been available on gender and age.

3.2 Applicant profile by Gender

3.2.1 Figure 3.2 below shows that the Council is attracting a good balance of both female and male applicants (females 55%: males 45%) which is reflective of the gender profile of the working population of East Hertfordshire.

Figure 3.2 - Applicant profile by Gender compared to the gender profile of the working* population of East Hertfordshire



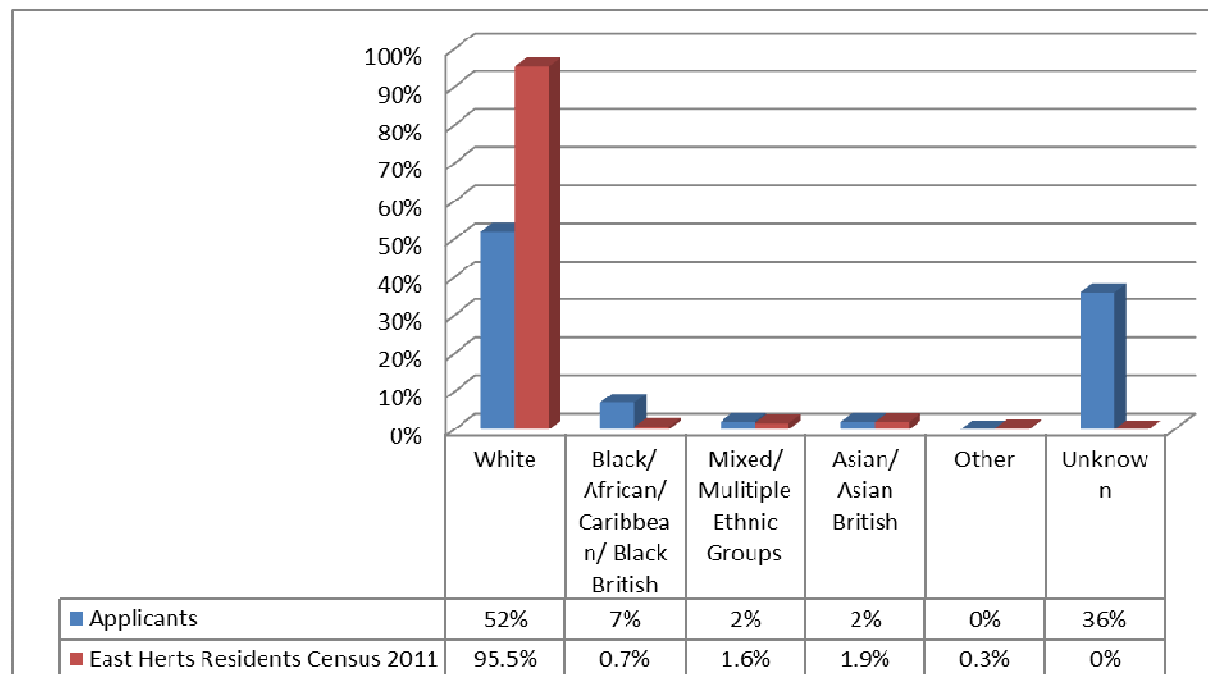
Source: ONS Population aged 16-64 (2013)

* The ONS defined working population as those aged between 16-64

3.3 Applicant Profile by Ethnicity

3.3.1 Figure 3.3 shows that the Council attracted applicants from a diverse range of ethnic origins - 11% were applicants from Black and Minority Ethnic (BME) Groups which is more than double the percentage of East Hertfordshire residents in these ethnic groups (4.5%).

Figure 3.3 Applicant Profile by Ethnicity compared to the residents of East Hertfordshire



Source: ONS Census 2011_Key Statistics_KS201EW Ethnic Group by Measures

Definitions of Ethnic Groups in the 2011 Census:

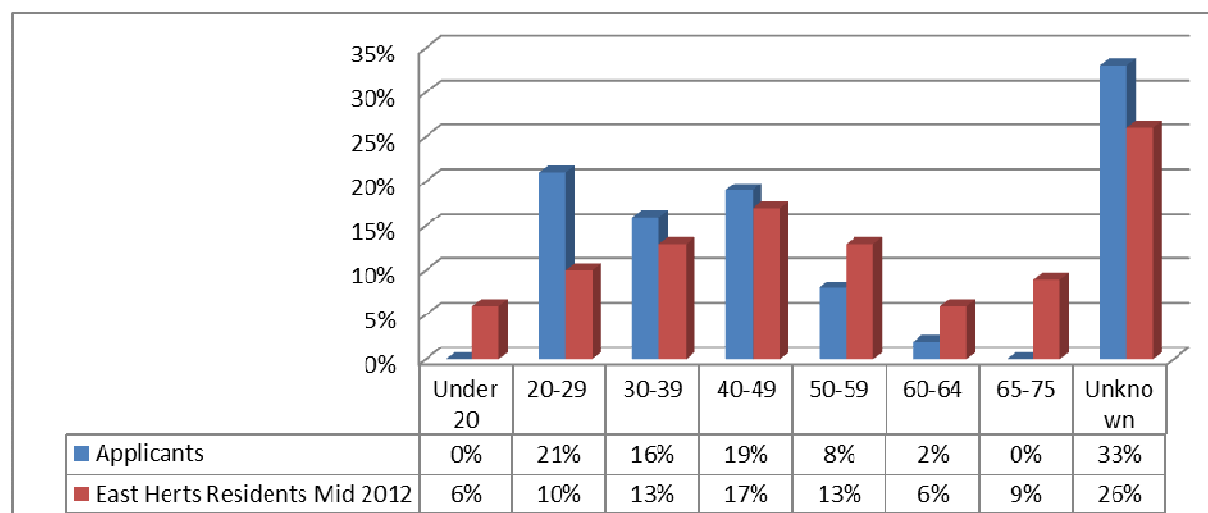
- * White – includes English, Welsh, Scottish, Northern Irish, British, Irish, Gypsy or Irish Traveller, Other White.
- * Mixed/Multiple Ethnic – includes White & Black Caribbean, White & Black African, White and Asian, Other mixed.
- * Asian/Asian British – includes Indian, Pakistani, Bangladeshi, Chinese, Other Asian.
- * Black/African/Caribbean/Black British – includes African, Caribbean, Other Black.
- * Other – includes Arab, Any other ethnic group.

3.4 Applicant Profile by Age

3.4.1 Figure 3.4 below shows that the Council attracted applications from a wide range of age groups.

3.4.2 Of note is that the Council attracted more than double the percentage of East Hertfordshire residents in the 20-29 age range to apply for jobs (21% compared to 10%).

Figure 3.4 – Applicant Profile by Age compared to the residents of East Hertfordshire



Source: ONS Population Data aged 16-64 (2013)

Note: The percentages for East Hertfordshire residents does not total 100% as only the data for 16-75 year olds has been included here

3.4.3 The Council failed to attract many applicants under the age of 20 (0% compared to 6% of East Hertfordshire residents in that age range). This may be because many individuals in this age range are in full time education and therefore were not seeking employment.

3.4.4 Perhaps unsurprisingly, the Council received no applications from applicants aged 65 or over.

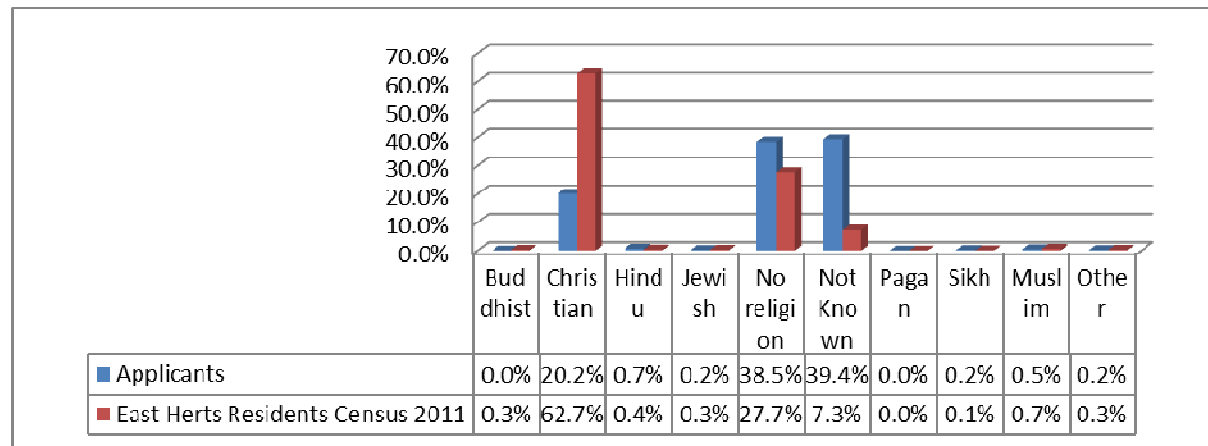
3.4.5 The data on age could be skewed by the fact that 33% of all applicants chose not to disclose their age on the Equal Opportunity Monitoring form.

3.5 Applicant Profile by Religion and Belief

3.5.1 Figure 3.5 below shows that the Council attracted applicants with a wide range of religions and beliefs reflective of those of the residents of East Hertfordshire.

3.5.2 More than one third of applicants (39.5%) chose not to disclose their religion or belief.

Figure 3.5 – Applicant Profile by Religion and Belief compared to the residents of East Hertfordshire



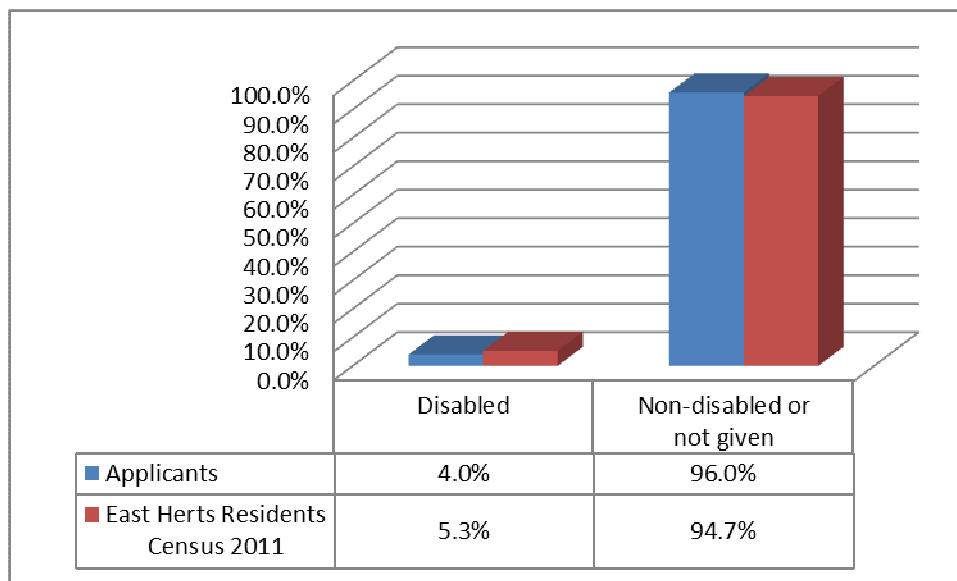
Source: ONS Census 2011_Key Statistics_KS209EW_Religion by Measures

3.6 Applicant Profile by Disability Status

3.6.1 Figure 3.6 below shows that the Council was successful in attracting applicants with a disability (4%) and this is reflective of the residents of East Hertfordshire with a disability (5.3%).

3.6.2 The Council has approval to use the *Two Ticks* disability symbol on its recruitment documentation. Where applicants apply under the *Two Ticks* scheme, they are guaranteed to be invited for an interview if they meet the minimum essential criteria for the role. In 2013/14, 13 applicants applied for roles under the *Two Ticks* scheme.

Figure 3.6 – Application Profile by Disability Status compared to the residents of East Hertfordshire



Source: ONS Census 2011_Long Term Health Problem or Disability (QS303EW)

Note: Those residents who declared themselves as disabled in the survey stated that their day to day activities were 'limited a lot'

4.0 Employee Profile

4.1 Introduction

4.1.1 This section provides information on employees employed by the Council as at 31 March 2014.

4.1.2 Casual employees, agency workers and contractors are not included.

4.1.3 The total number of employees employed by the Council as at 31 March 2014 was 345.

4.1.4 The data has been analysed using 6 of the 9 protected characteristics under the Equality Act 2010 as follows:

- Gender
- Ethnicity
- Age
- Religion or Belief
- Disability status
- Sexual orientation

4.1.5 Various comparison data has been used to understand how the employee profile of the Council compares to the wider context in which it operates and to identify whether there are any areas of concern which the Council needs to take action on.

4.1.6 Where possible, comparisons have been made at the most local level (i.e. with East Hertfordshire residents) and using the most up-to-date data available. However where this data has been unavailable at this level, comparisons have been made with East of England residents and, failing that, with UK residents.

4.1.7 Most of the comparison data has been taken from the 2011 Census unless more recent data has been available. More recent data has been available on population figures broken down by gender and age, and also on sexual orientation.

4.2 Employee Profile by Gender

4.2.1 The Council's employee profile by gender has remained broadly the same over the last three years: approximately 2 females to every 1 male.

4.2.2 Figure 4.2(i) below shows that the Council's employee profile by gender is not closely reflective of that of the residents of East Hertfordshire. The Council has a significantly higher percentage of female employees (69%) compared to the overall female working population in East Hertfordshire (51%). In contrast, the Council has a significantly lower percentage of male employees (31%) compared to the overall male working population in East Hertfordshire (49%).

Figure 4.2 (i) – Employee Profile by Gender compared to the working¹ population of East Hertfordshire



Source: ONS Population aged 16-64 (2013)

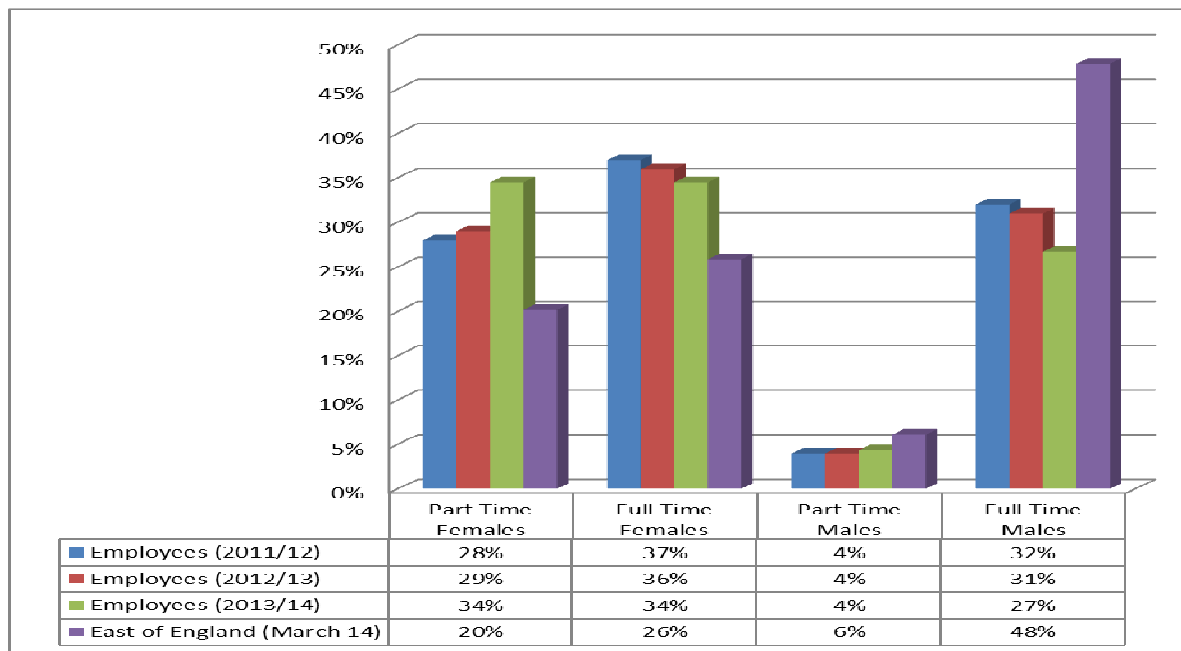
¹ The ONS defined working population as those aged between 16-64

4.2.3 The data on gender has been further analysed by the full or part time status of employees. Comparison data with the working population in East Hertfordshire is not available at this level of detail and therefore comparisons have been made with the working population in the East of England.

4.2.4 Figure 4.2(ii) below shows that the Council has a significantly higher percentage of part time female employees (34%) compared to part time females in the East of England as a whole (20%). Possible reasons for this include the Council's commitment to flexible working options which can often attract females who may have caring commitments and therefore wish to work flexibly.

4.2.5 In contrast, the Council has a significantly lower percentage of full time males (27%) compared to full time males in the East of England (48%).

Figure 4.2(ii) – Employee Profile by Gender and Part/Full Time Status compared to the Working Population of the East of England



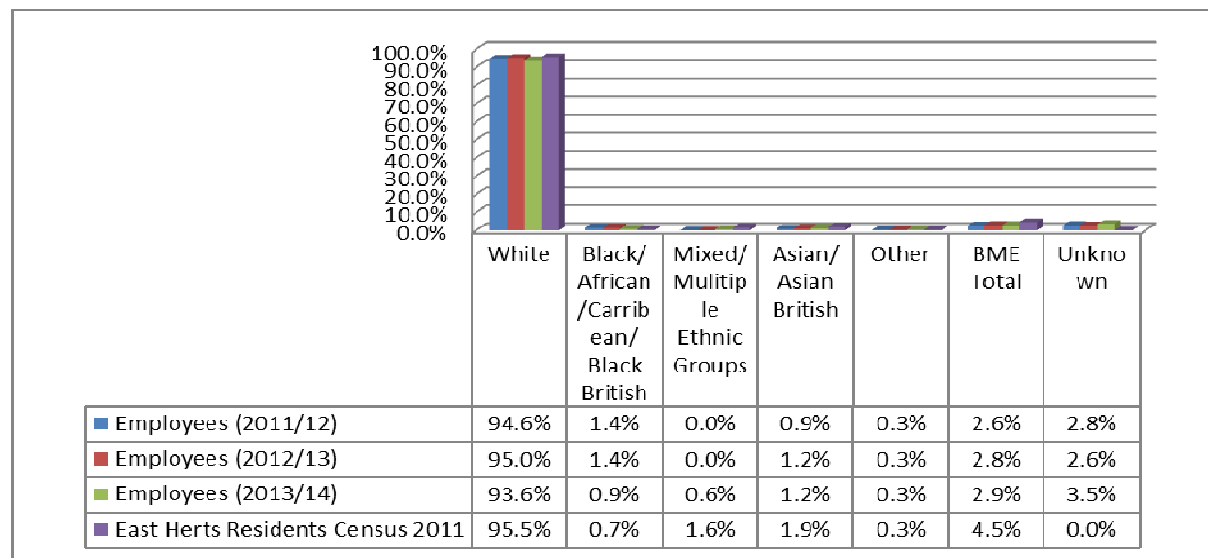
Source: ONS HI06 – 3, Full time, part time and temporary workers, East of England March 2014

4.3 Employee Profile by Ethnicity

4.3.1 Figure 4.3 below shows that the Council’s employee profile by ethnicity has remained broadly the same over the last 3 years with the vast majority of employees being white (93.6% in 2014).

4.3.2 Figure 4.3 shows that the percentage of Black and Minority Ethnic (BME) employees has increased slightly over the last 3 years (2.6% in 2012, 2.8% in 2013 and 2.9% in 2014). The latter figure is still not quite as high as the percentage of BME residents in East Hertfordshire (4.5%).

Figure 4.3 – Employee Profile by Ethnicity compared to residents of East Hertfordshire



Source: ONS Census 2011_Key Statistics_KS201EW_Ethnic Group by Measures

Note: The above ethnic origin groups mirror those detailed in the 2011 Census. Data on the ‘Mixed/Multiple ethnic’ group had not been reported on for 2011/12 and 2012/13 however it has been included this year to be consistent with the ethnic groups used in the Census.

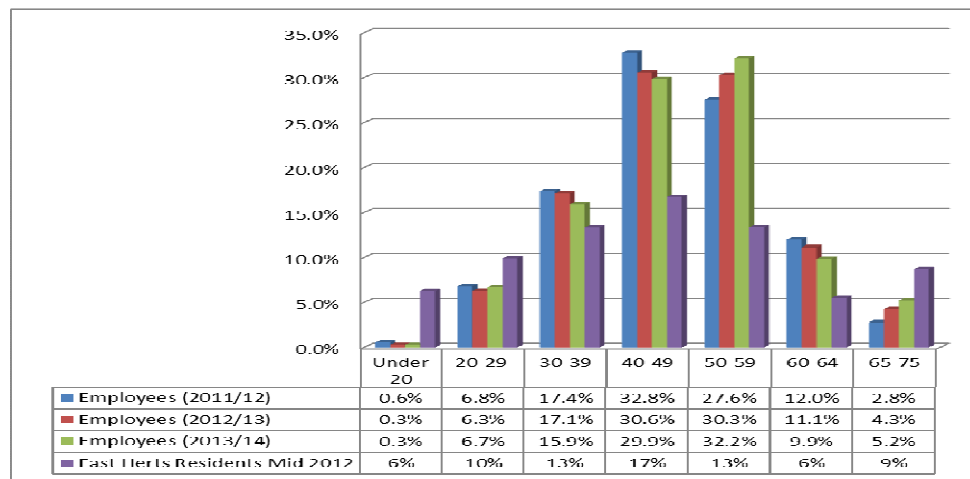
4.4 Employee Profile by Age

4.4.1 Figure 4.5 shows that the Council's employee profile by age has remained broadly the same over the last 3 years with almost two thirds of employees aged 40-59 (62.1% in 2014). This is approximately double the percentage of residents in East Hertfordshire in this age range (30%).

4.4.2 Figure 4.5 shows that over the last 3 years the Council has consistently had a lower percentage of employees in the under 20 and 20-29 age ranges compared to the residents in East Hertfordshire in these age ranges.

4.4.3 The percentage of employees in the 65-75 age range has almost doubled in the last 3 years however this age range is still lower than the percentage of East Herts residents in this age range. This is likely to be due to the removal of the default retirement age in 2011.

Figure 4.4 – Employee Profile by Age compared to the residents of East Hertfordshire



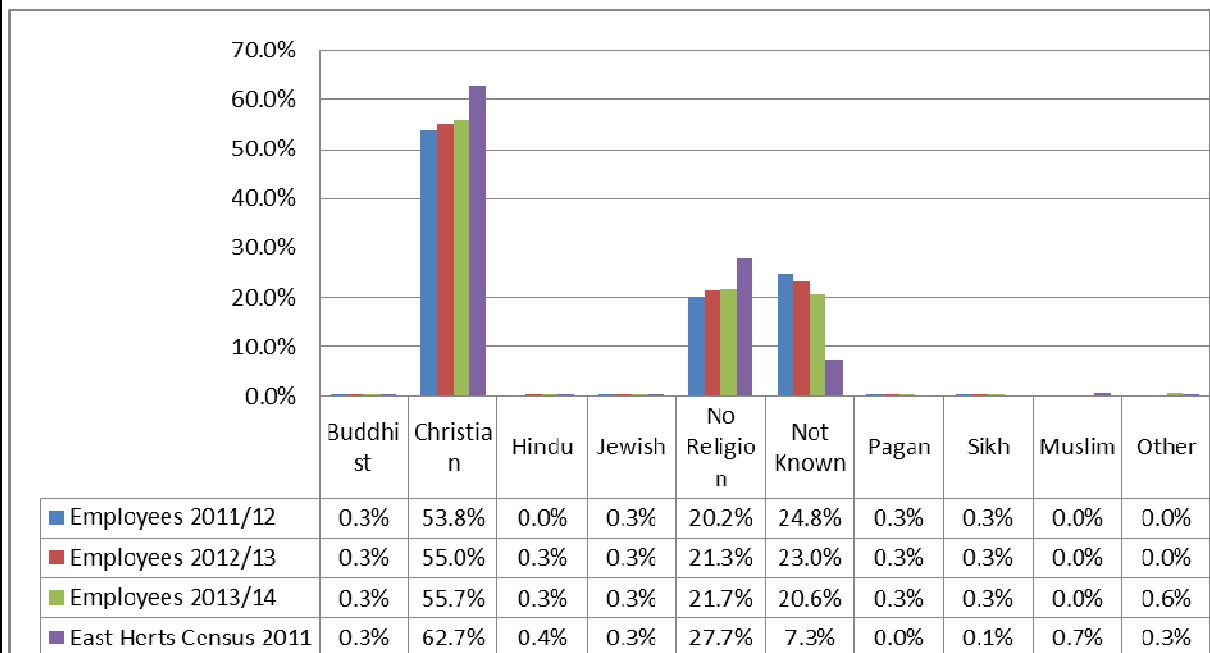
Source: ONS Population Data mid 2012

Note: The percentage for East Herts residents does not total 100% as only the data for 16-75 year olds has been included here

4.5 Employee Profile by Religion and Belief

4.5.1 The Council's employee profile by religion and belief has remained consistent over the last 3 years. Just over half (55.7%) declared their religion to be Christian, 21.7% declared they had no religion and 20.6% chose not to disclose their religion. These are generally proportionate to the religion and belief preferences of the residents of East Hertfordshire.

Figure 4.5 – Employee Profile by Religion and Belief compared to the residents of East Hertfordshire



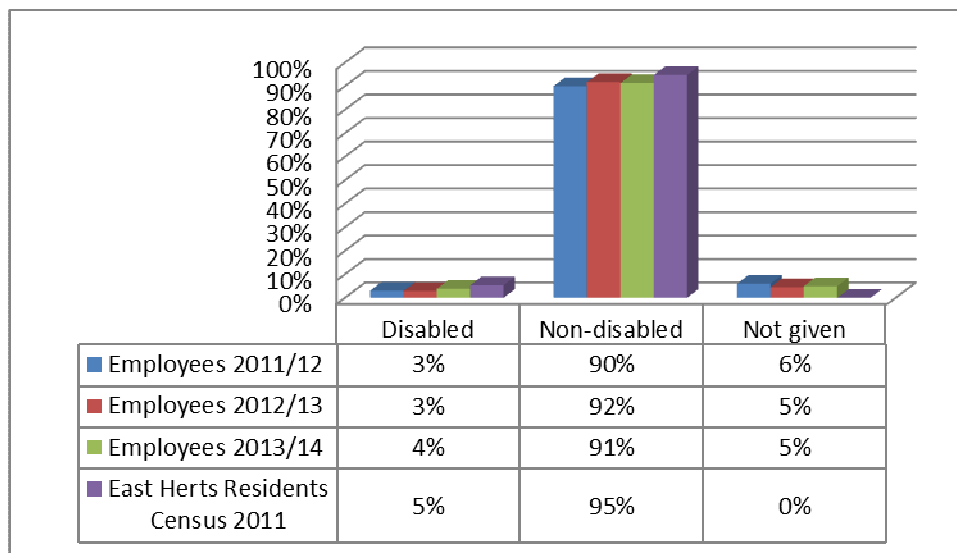
Source: ONS Census 2011_Key Statistics_KS209EW_Religion by Measures

4.6 Employee Profile by Disability

4.6.1 Figure 4.6 shows that the percentage of employees who have declared they have a disability has increased slightly from 3% in 2011/12 to 4% in 2013/14 which is almost as high as the percentage of residents in East Hertfordshire who have declared they have a disability (5%).

4.6.2 Approximately 5% of employees have declined to declare whether or not they have a disability.

Figure 4.6 – Employee Profile by Disability Status compared to the residents of East Hertfordshire residents



Source: ONS Census 2011_Long Term Health Problem or Disability (QS303EW)

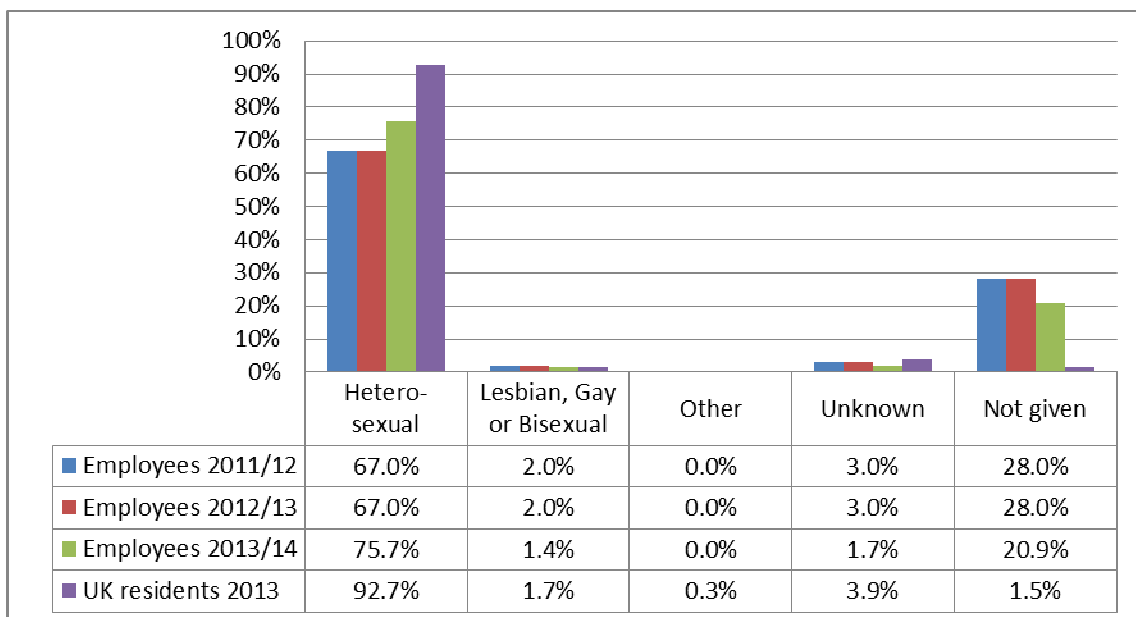
Note: Those residents included in the 'disabled' figures stated that their day to day activities were 'limited a lot'

4.7 Staff Profile by Sexual Orientation

4.7.1 The Council’s staff profile by sexual orientation has remained consistent over the last 3 years with the majority of employees declaring themselves as heterosexual (75.7% in 2014) and a small minority declaring themselves as Lesbian, Gay or Bisexual (1.4% in 2014). Just over 20% of employees in 2014 chose not to declare their sexual orientation.

4.7.2 Figure 4.7 shows that the above figures are consistent with data gathered by the ONS in the UK Integrated Household Survey in 2013. The survey found that 1.7% of adults identified themselves as ‘lesbian, gay or bisexual’, 92.7% as ‘heterosexual’, 0.3% as ‘other’ and 5.4% answered either ‘unknown’ or didn’t given a response (‘not given’).

Figure 4.7 – Employee Profile by Sexual Orientation compared to UK residents



Source: ONS Statistical Bulletin: Integrated Household Survey, January to December 2013: Experimental Statistics – Sexual Identity

5.0 Performance Management

5.1 Introduction

5.1.1 The Council's performance management scheme has 5 grades:

- **Exceptional Performance** - performance/contribution consistently exceeds the requirements of the role and all objectives are achieved;
- **Exceeding Expectations** - performance/contribution on occasion exceeds the requirements of the role and all objectives are achieved;
- **Meeting Expectations** - performance/contribution meets the requirements of the role and objectives are achieved;
- **Opportunity for Improvement** - performance/contribution is occasionally below the requirements of the role (some development and support needed);
- **Immediate Improvement Required** - performance/contribution is consistently below the requirements of the role and immediate improvement is required (development and support needed and being formally managed under the Managing Performance Policy).

5.1.2 All employees except casuals receive an annual performance development review (PDR) in December/ January and a mid-year review in June/July (except Revenues and Benefits Shared Services who receive an annual review in June/July and a mid-year review in December/January). The data in this section is based on the PDRs completed in December/January 2013/14.

5.1.3 The data has been analysed using 5 of the 9 protected characteristics under the Equality Act 2010 as follows:

- Gender
- Ethnicity
- Age
- Religion or Belief
- Disability status

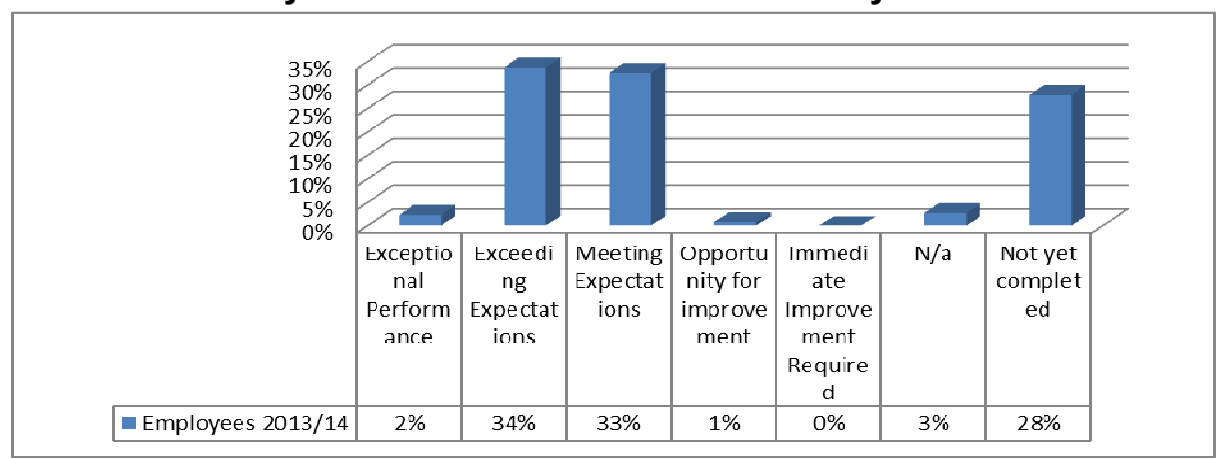
5.2 Breakdown of ratings

5.2.1 Figure 5.2 shows that of those employees who were due a full year PDR in December 13/January 14, approximately one third (34%) were rated as 'exceeded expectations', one third (33%) as 'met expectations', 2% as achieving 'exceptional performance', and 1% as 'opportunity for improvement'.

5.2.2 There were no employees who received the rating 'immediate improvement required'. For 7% of employees, a PDR rating at this time was not applicable (N/A) either due to the employee being a new starter or on maternity leave.

5.2.3 Unfortunately, 28% (33 employees) due a PDR review were not returned to HR and therefore their performance rating is unknown. This is despite regular reminders to managers.

Figure 5.2 – PDR Ratings for those employees who were due a full year PDR in December 13/January 14

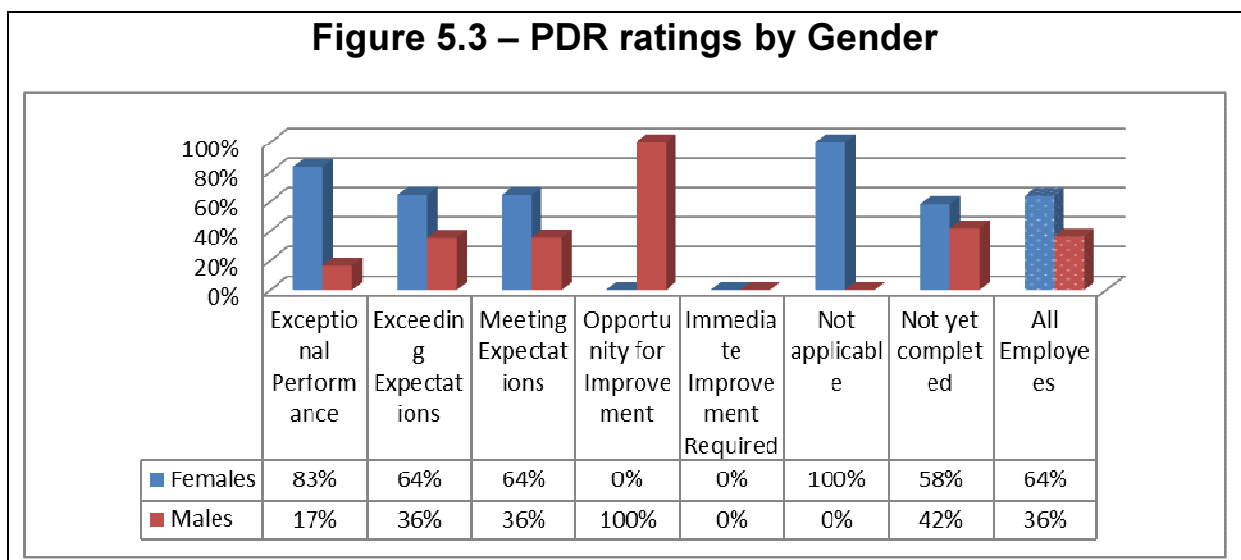


5.3 PDR Ratings by Gender

5.3.1 Figure 5.3 shows that the percentage of female and male employees who were rated as 'met expectations' or 'exceeded expectations' is reflective of the gender profile of all those who were eligible to receive a PDR rating at this time.

5.3.2 For those who were rated as having 'exceptional performance', only 17% were males. The figures are skewed however due to the small numbers of employees in the 'exceptional performance' category (6 in total, of which 5 were females and 1 was male).

5.3.3 Similarly, those who received the rating 'opportunity for improvement' were 100% male however, the figures are again skewed due to there only being a small number of employees in this category (2 in total).

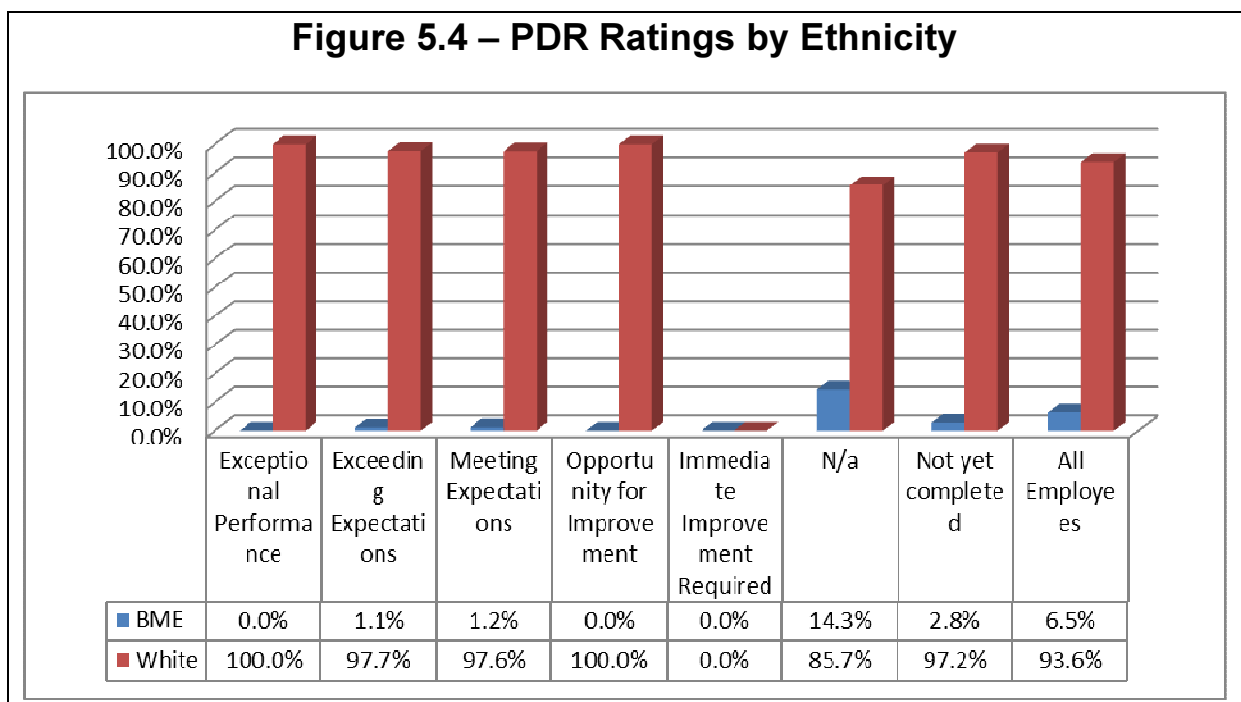


5.4 PDR ratings by Ethnicity

5.4.1 Figure 5.4 shows how employees from Black and Minority Ethnic (BME) groups have been rated in their PDRs compared to white employees.

5.4.2 Whilst it may initially seem from the chart below that employees from BME groups are not achieving the higher PDR ratings, further analysis is needed. There are only a small number of BME employees overall who were included in the figures (6 in total). Of those 6, there were 2 who were not rated due to 1 being on maternity leave and 1 being a new starter. Another BME employee has not yet had their PDR completed. For the remaining 3 who have been given a rating, 2 were rated as 'met expectations' and 1 was rated as 'exceeded expectations'.

5.4.3 There were no employees from BME groups rated as 'exceptional performance' however the figures may be skewed due to the very small numbers of employees in the 'exceptional performance' group as a whole (6 employees in total).



5.5 PDR ratings by Age

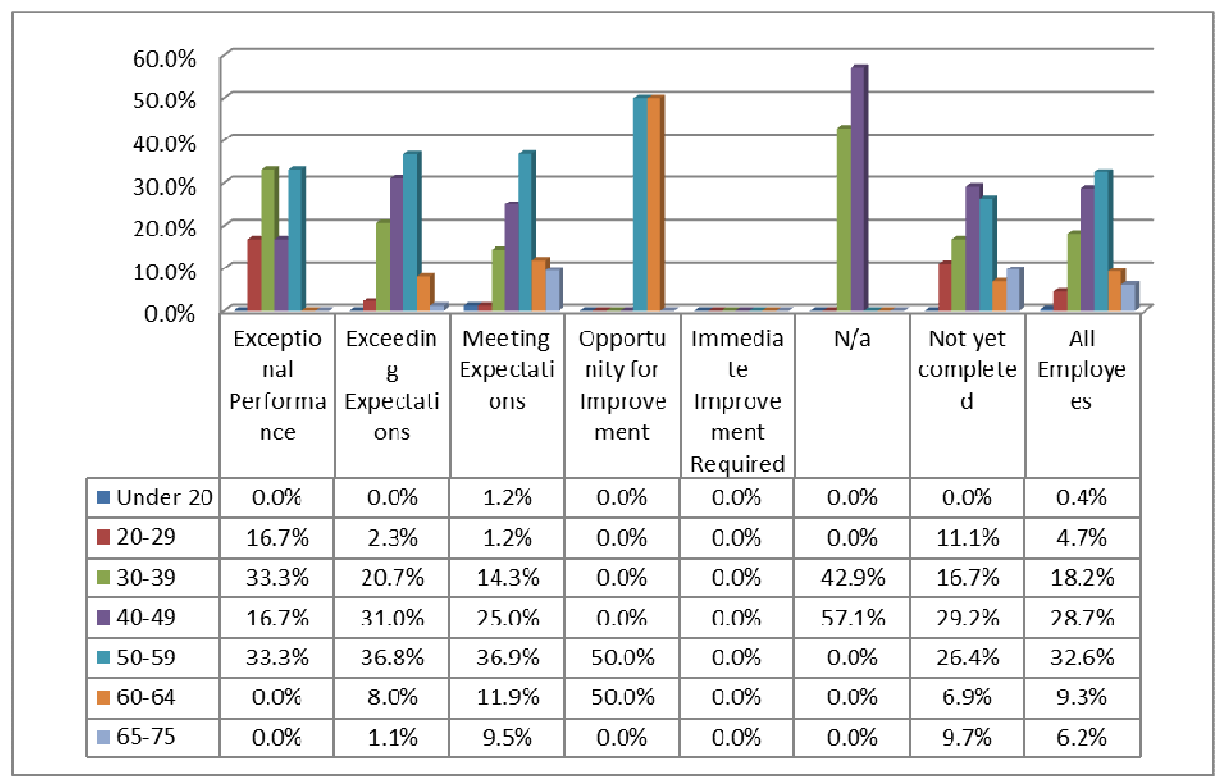
5.5.1 Figure 5.5 below shows how employees in different age ranges performed in their PDRs compared to the total number of employees eligible to receive a rating at this time.

5.5.2 There is generally a balanced allocation of PDR ratings across the age ranges.

5.5.3 The 'opportunity for improvement' figures are skewed due to their being only 2 employees overall who received this rating.

5.5.4 Of note is that there was a smaller percentage of employees in the 65-75 age range who were rated as 'exceptional performance' and 'exceeding expectations' compared to the total number of eligible employees in this age range.

Figure 5.5 – PDR ratings by Age

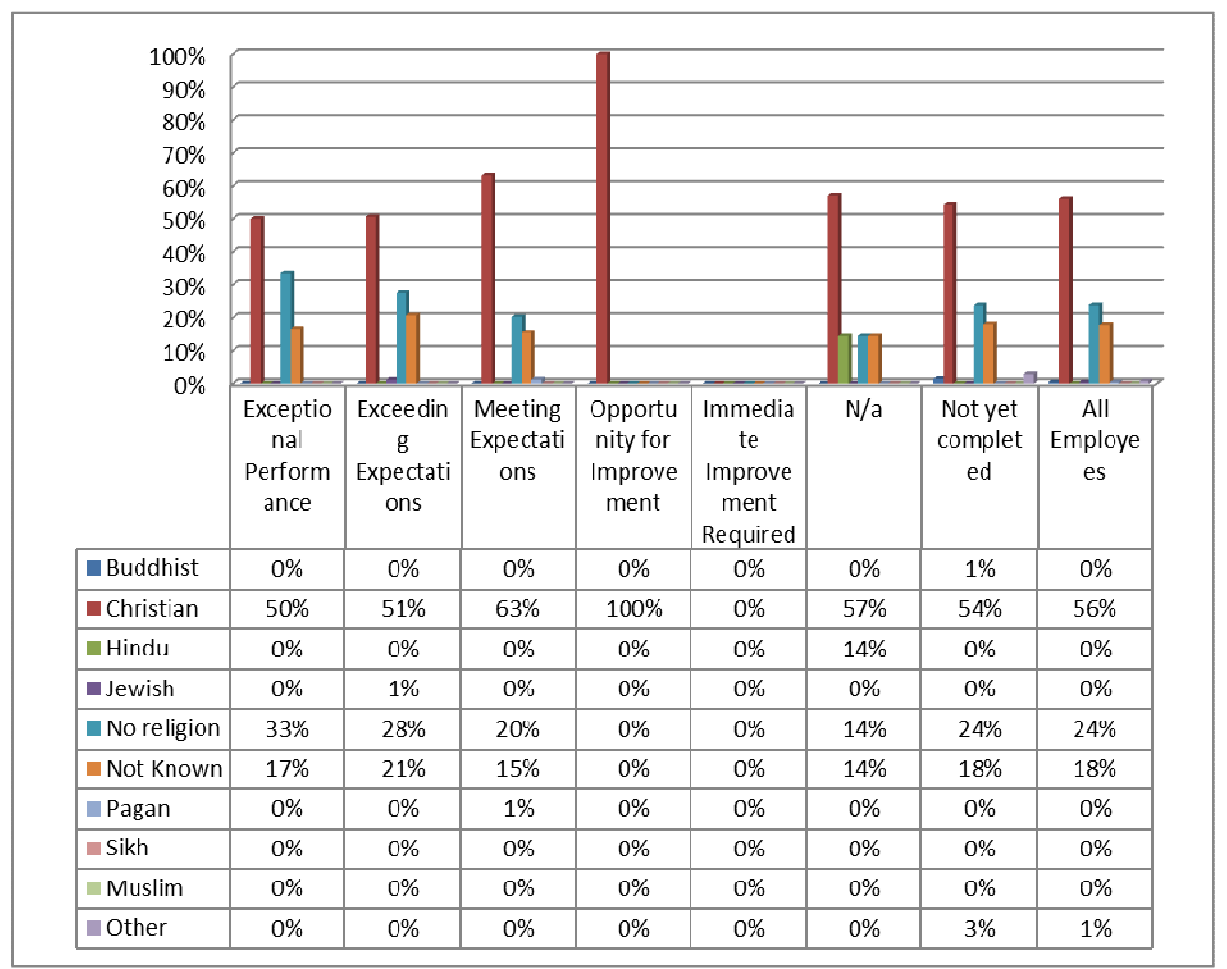


5.6 PDRs by Religion and Belief

5.6.1 Figure 5.6 shows how employees with different religions and beliefs performed in their PDRs compared to the total number of employees eligible to receive a rating at this time.

5.6.2 There is generally a balanced allocation of PDR ratings across the different groups.

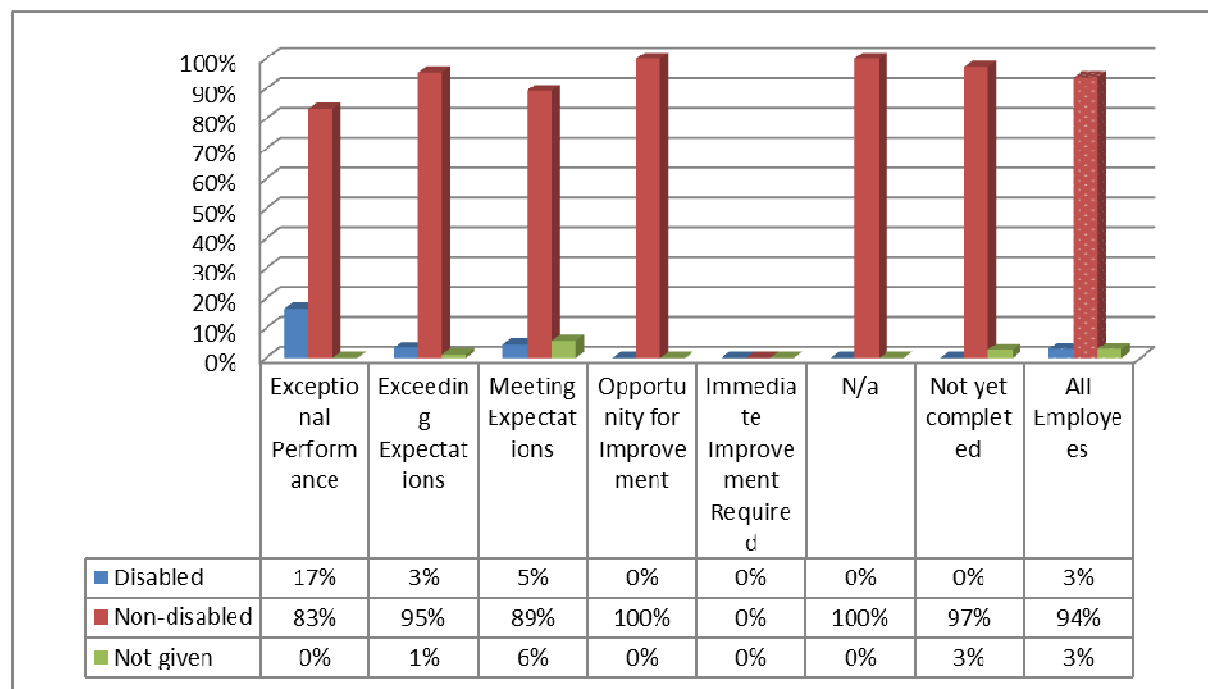
Figure 5.6 – PDR ratings by Religion & Belief



5.7 PDR ratings by Disability

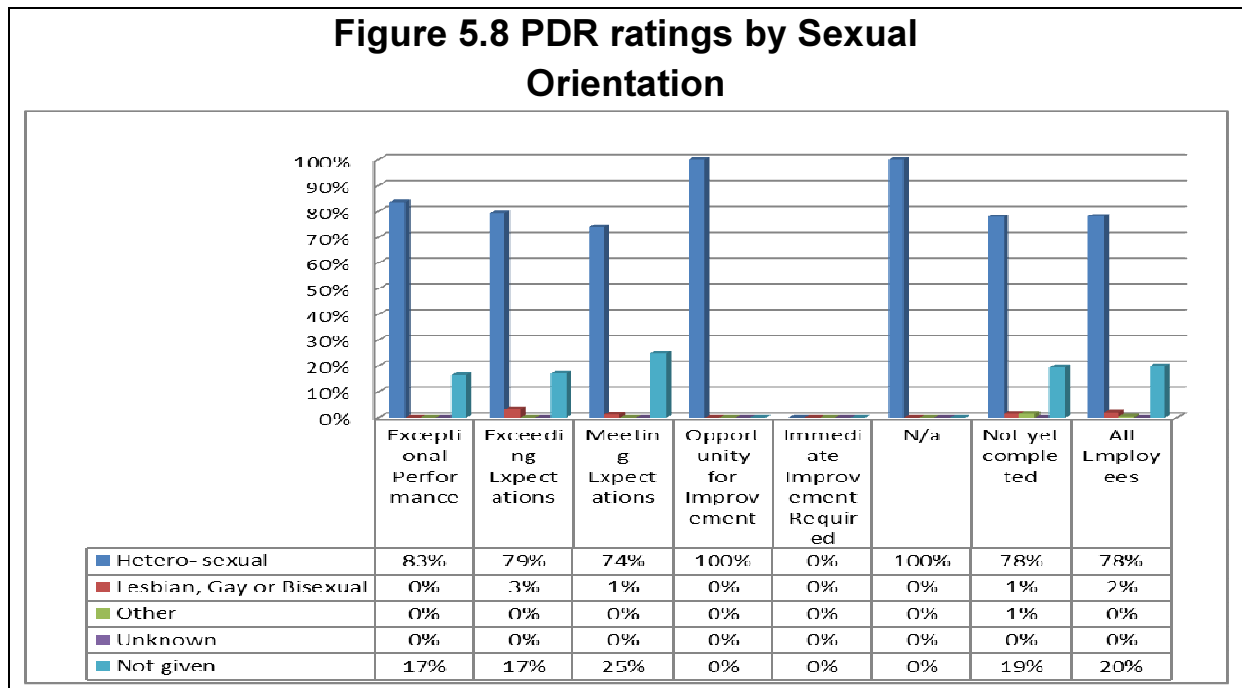
5.7.1 Figure 5.7 shows that employees who have declared they have a disability have fared well in the PDR ratings. Of the 11 eligible employees who have declared they have a disability, 1 was awarded an 'exceptional performance' rating, 3 were awarded 'exceeded expectations', 3 'met expectations' and 4 had not yet been given a rating.

Figure 5.7 – PDR ratings by Disability



5.8 PDR ratings by Sexual Orientation

5.8.1 Figure 5.8 shows that employees who have declared they are lesbian, gay or bisexual have fared well in the PDR ratings. Of the 5 eligible employees in this group, 3 employees were rated 'exceeded expectations', 1 was rated 'met expectations' and 1 had not yet been given a rating.



6.0 Discipline and Grievance

6.1.1 The number of disciplinary and grievance cases in 2013/14 was very small and therefore are not representative of the employee profile.

6.1.2 In 2013/14 there were only 2 employees who were subject to formal disciplinary proceedings. There were no formal grievance cases.

6.1.3 The 2 employees who were subject to formal disciplinary proceedings were both white, both in the 40-49 age range, 1 was female and the other was male, 1 was christian and the other's religion was not known, and 1 was heterosexual and the other did not disclose their sexual orientation.

6.1.4 The Council has clear guidance in the Council's policies on Equality and Diversity, Discipline, Grievance, and Harassment and Bullying to ensure there is no discrimination within the Council. Employees undergoing disciplinary action or submitting grievances will continue to be monitored, however there is currently no evidence, through monitoring, staff survey or feedback to suggest that any one group is being disadvantaged.

7.0 Training Course Participants

7.1 Introduction

7.1.1 In 2013/14, the Council arranged 25 in-house training courses for its employees over 37 separate sessions.

7.1.2 There were a total of 745 course participants. This does not include contractors or agency workers who may have also attended the training.

7.1.3 The figures below analyse the equalities data of those course participants who attended HR-led training courses only. There were a total of 415 course participants who attended these courses.

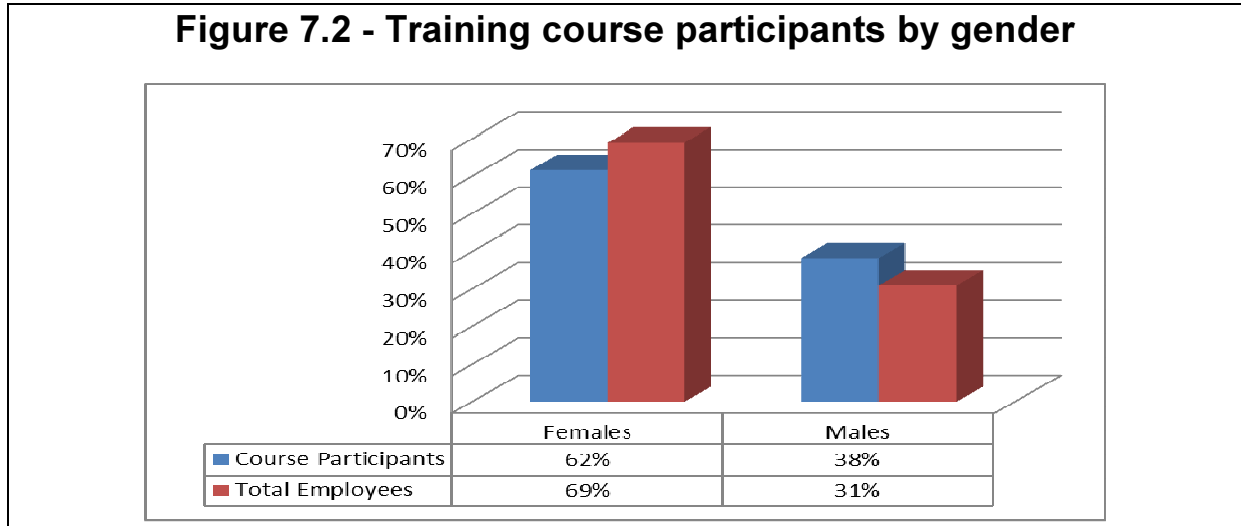
7.1.4 The data has been analysed using 6 of the 9 protected characteristics under the Equality Act 2010 as follows:

- Gender
- Ethnicity
- Age
- Religion or Belief
- Disability status
- Sexual Orientation

7.1.5 The figures show that training and development is provided on a fair and equal basis across the council and allows all employees to take advantage of the opportunities.

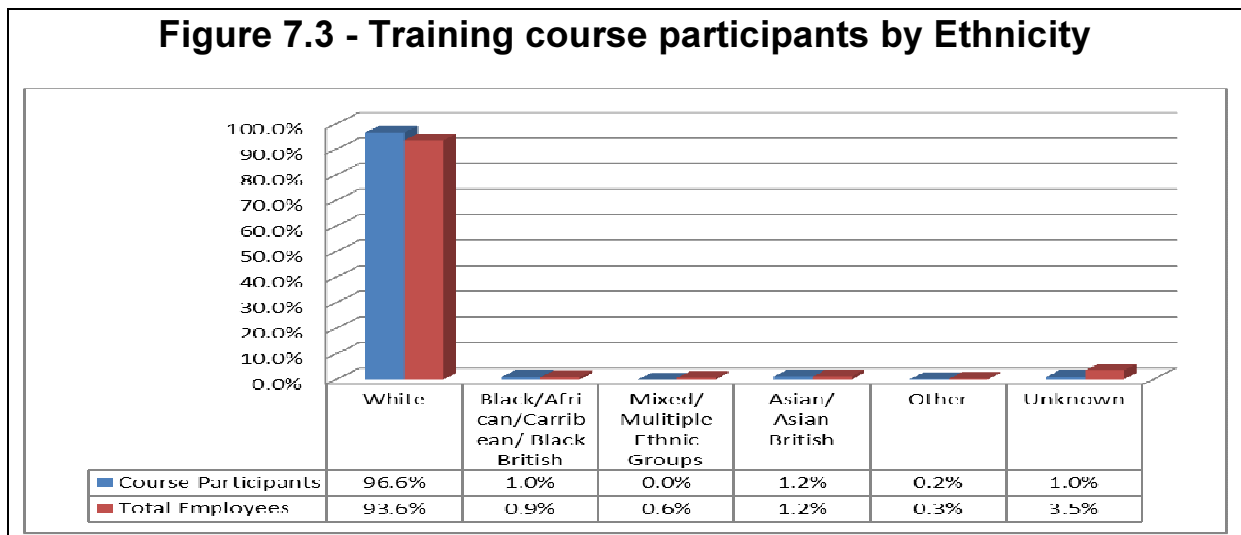
7.2 Training course participants by Gender

7.2.1 Figure 7.2 shows that the percentage of female and male employees who attended training courses was reflective of the female/male employee profile.



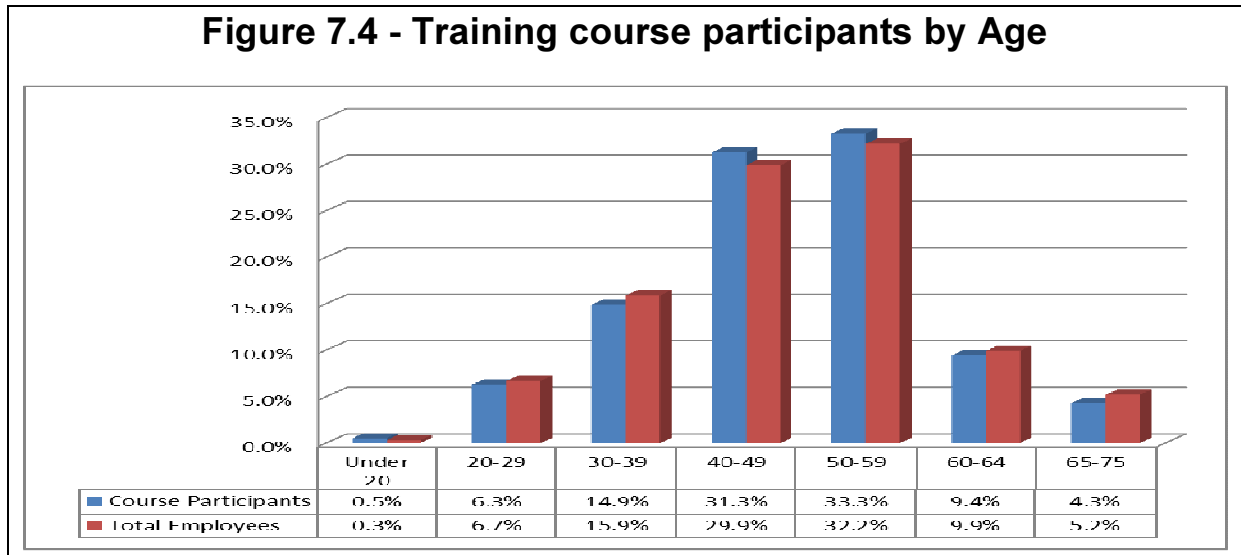
7.3 Training course participants by Ethnicity

7.3.1 Figure 7.3 shows that the percentage of training course participants by ethnicity was reflective of the employee profile



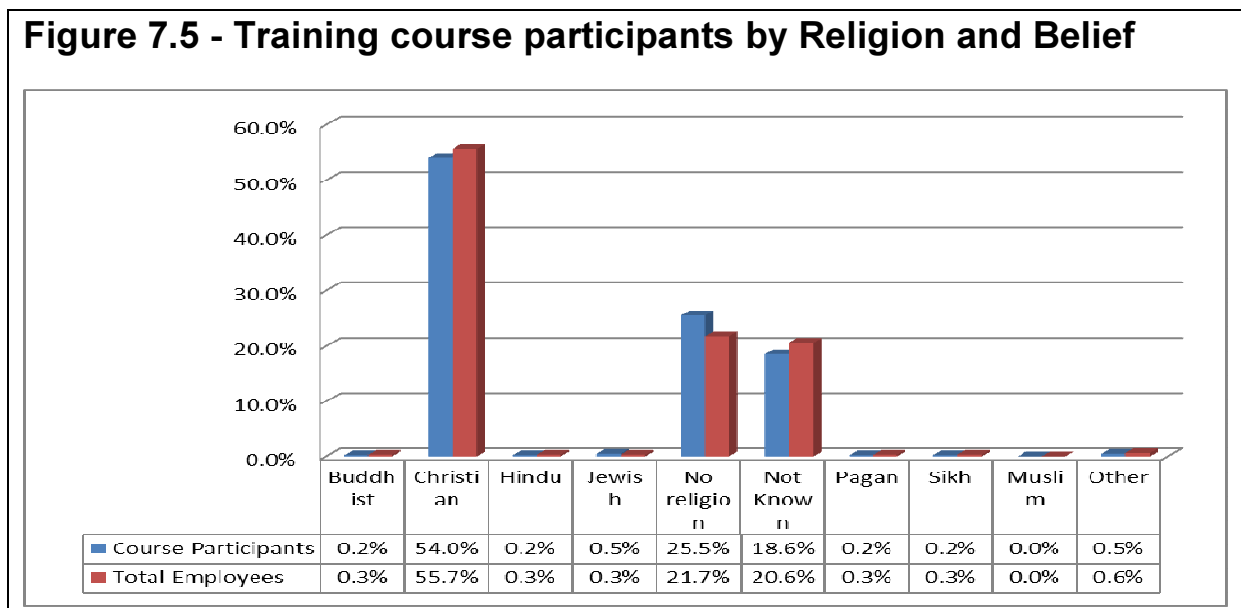
7.4 Training course participants by Age

7.4.1 Figure 7.4 shows that the percentage of training course participants by age was reflective of the employee profile.



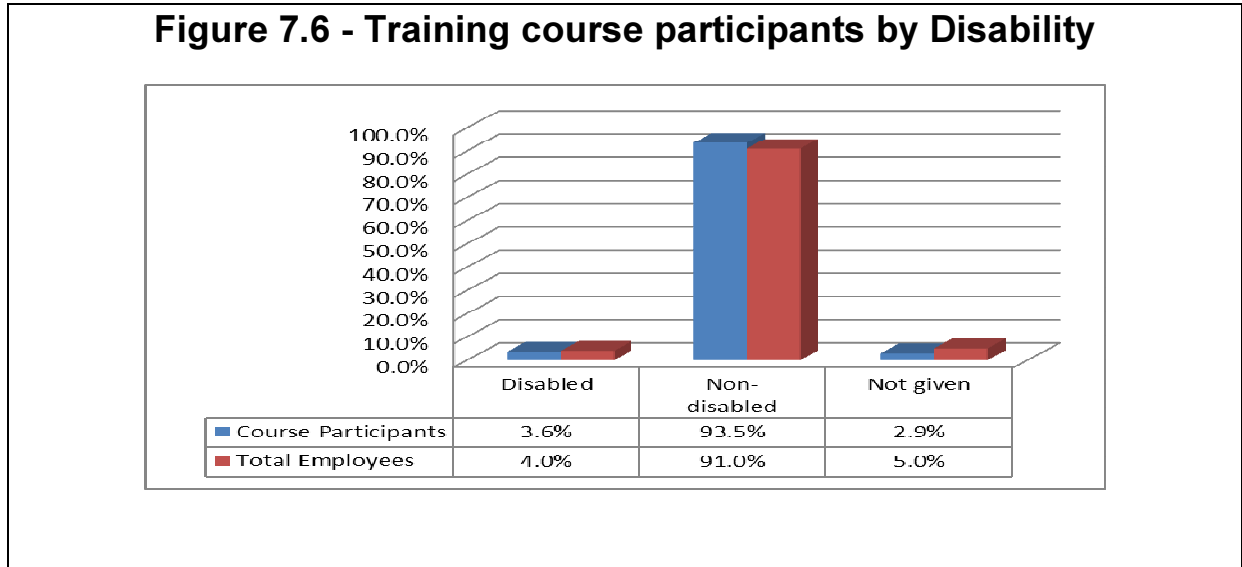
7.5 Training course participants by Religion and Belief

7.5.1 Figure 7.5 shows that the percentage of training course participants by religion and belief was reflective of the employee profile.



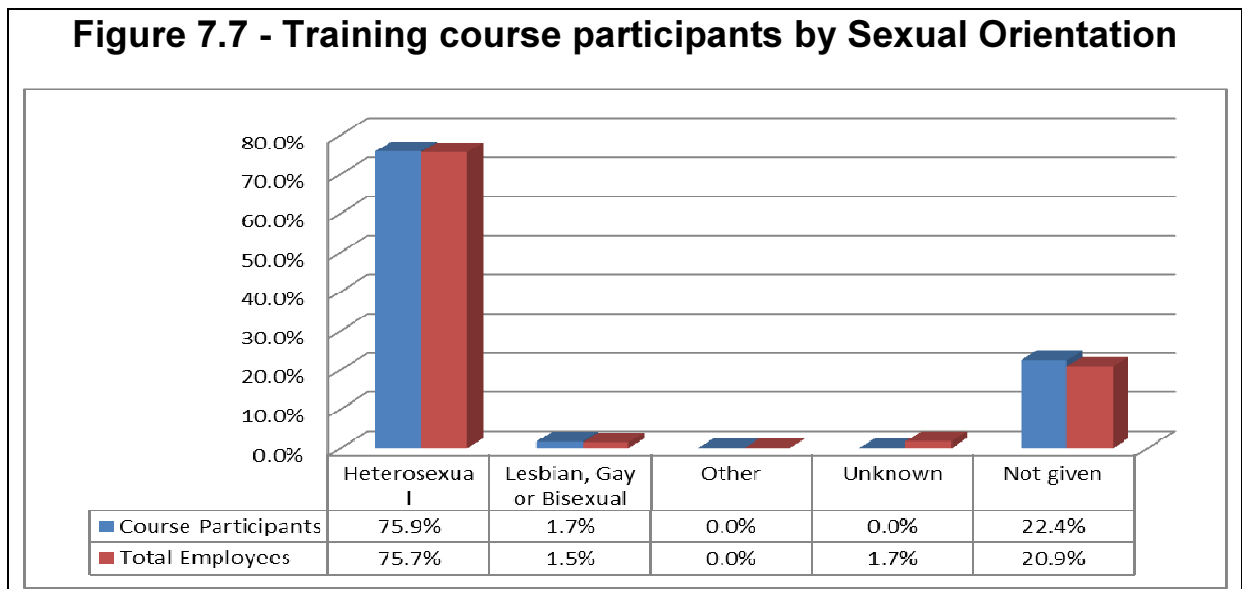
7.6 Training course participants by Disability

7.6.1 Figure 7.6 shows that the percentage of training course participants by disability was reflective of the employee profile.



7.7 Training course participants by Sexual Orientation

7.7.1 Figure 7.7 shows that the percentage of training course participants by sexual orientation was reflective of the employee profile.



8.0 Leavers

8.1 Introduction

8.1.1 This section provides information on employees who have left the Council (both voluntarily and involuntarily) between the period 1 April 2013 and 31 March 2014.

8.1.2 The figures exclude casual employees who have left the Council and those who have left temporarily on a career break.

8.1.3 The total number of leavers during the period is 47. Of these, 25 left voluntarily and 22 left involuntarily.

8.1.4 Of those who left involuntarily, 14 left due to Shared Services, 1 due to redundancy, 1 as a result of a dismissal and 6 due to the end of fixed term contracts.

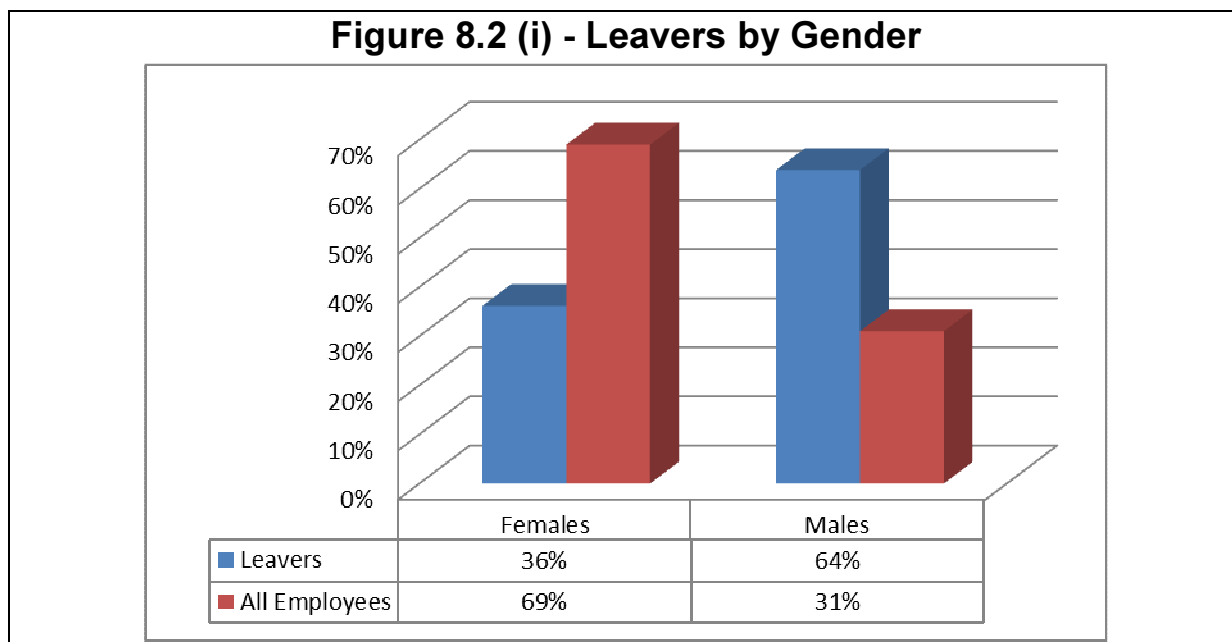
8.1.5 Reasons for leaving were analysed in the Turnover Report for 2013/14 (Human Resources Committee August 2014)

8.1.6 Leaver data has been analysed using 6 of the 9 protected characteristics under the Equality Act 2010 as follows:

- Gender
- Ethnicity
- Age
- Religion or Belief
- Disability Status
- Sexual Orientation

8.2 Leavers by Gender

8.2.1 Figure 8.2(i) shows that 36% of total leavers (both voluntary and involuntary) were female and 64% were male. This is disproportionate in comparison to the female/male employee profile: 69% and 31% respectively.



8.2.2 The data is skewed due to the fact that 13 out of 14 employees who left as a result of Shared Services were all male. The majority of these employees work in IT and this occupation tends to be predominantly male.

8.2.3 If you exclude those employees who left as a result of shared services from the total leaver data, the results are more balanced: 50% of leavers were female and 50% were male. There is still however a disproportionately higher percentage of male leavers when compared to the female/male ratio of the staff profile (69%/31%).

8.2.4 It is also important to note that the percentage of male leavers has increased over the last 3 years (26% in 2011/12, 43% in 2012/13 and 50%* in 2013/14)

* excluding leavers due to shared services

8.2.5 Due to the disproportionate number of male leavers, further analysis has been undertaken.

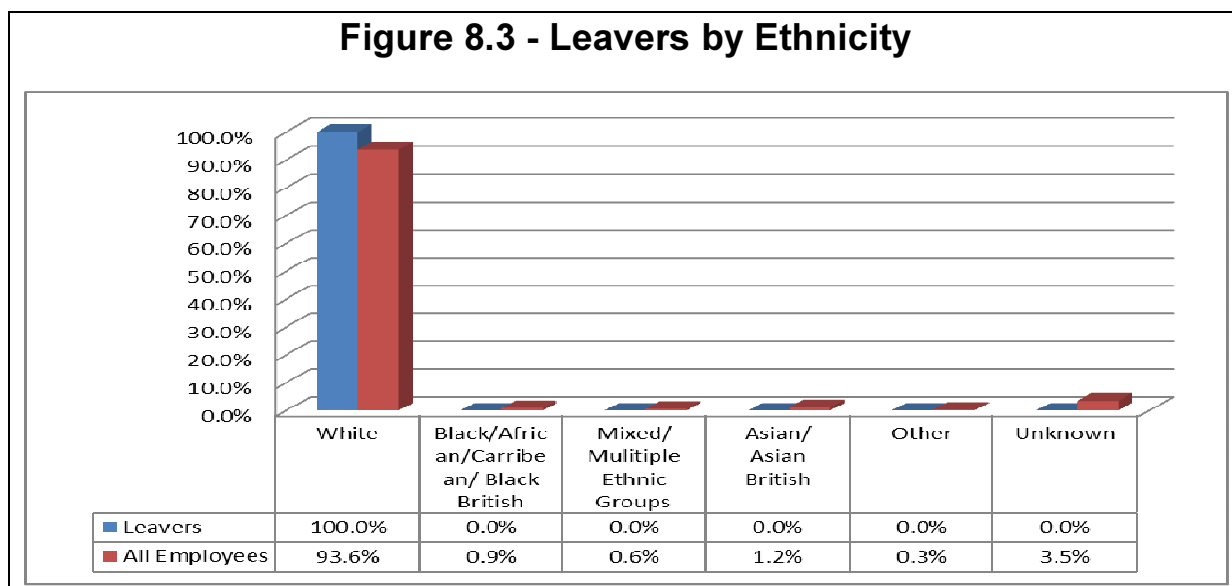
8.2.6 Table 8.2(ii) below shows that, excluding involuntary leavers, there doesn't seem to be any trends with regard to male leavers. They are from a variety of ages and from a variety of teams

Table 8.2(ii) – Leaving Reasons for male employees

Leaving Reason	Age ranges	Number	Team(s)
TUPE Shared Services	Various	13	IT and Facilities Management
Retired	Ages 60-67	5	Various
End of contract	Various	4	Various
Redundancy	50-59	1	Joint Enforcement Team
Resigned	1 x 20-29, 3 x 30-39, 2 x 40-49, 1 x 50-59	7	Various – 1 each in Planning Policy, Development Control, Facilities Management, Benefits, Building Control, and Finance)

8.3 Leavers by Ethnicity

8.3.1 Figure 8.3 shows that the percentage of leavers by ethnicity is proportionate to the ethnic profile of all employees.

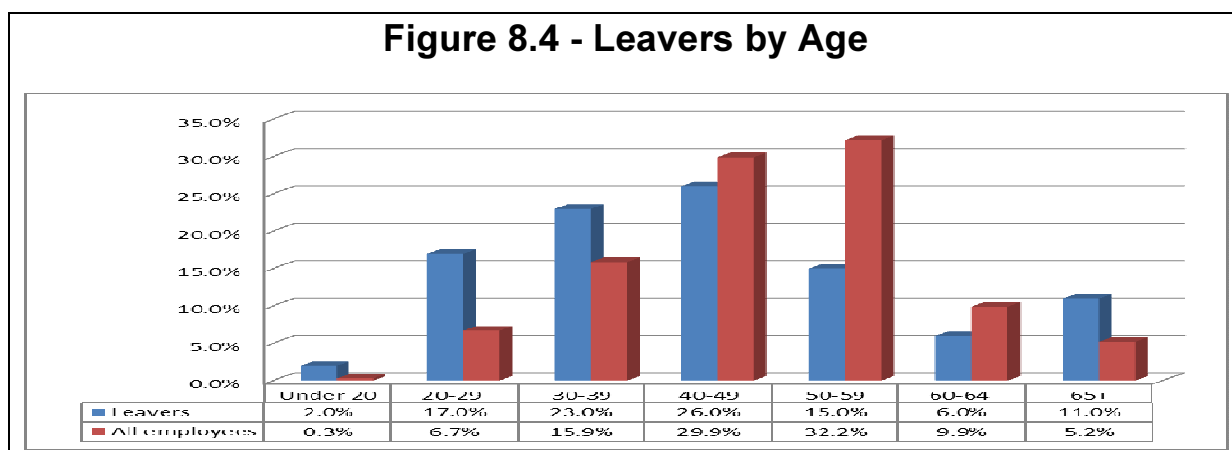


8.4 Leavers by Age

8.4.1 Figure 8.4 shows that the percentage of leavers for most age groups is proportionate to the employee profile.

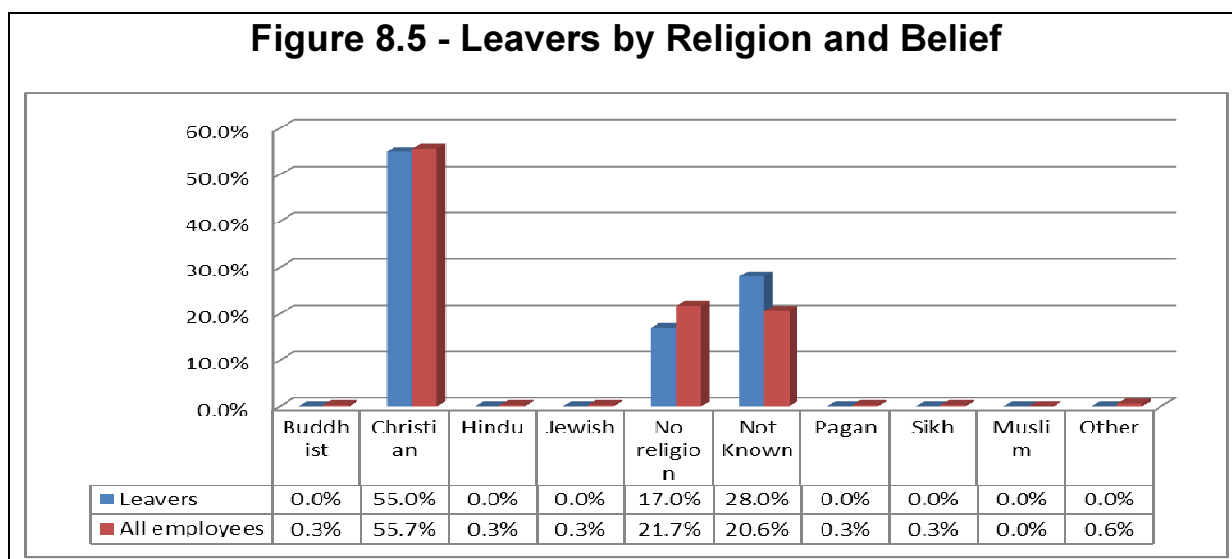
8.4.2 It is worth noting however, that the percentage of leavers in the 20-29 age range (17%) is almost 3 times the percentage of employees in this age range (6.7%).

8.4.3 Conversely, the percentage of leavers in the 50-59 age range (15%) is significantly lower than the percentage of employees in that age range (32.2%).



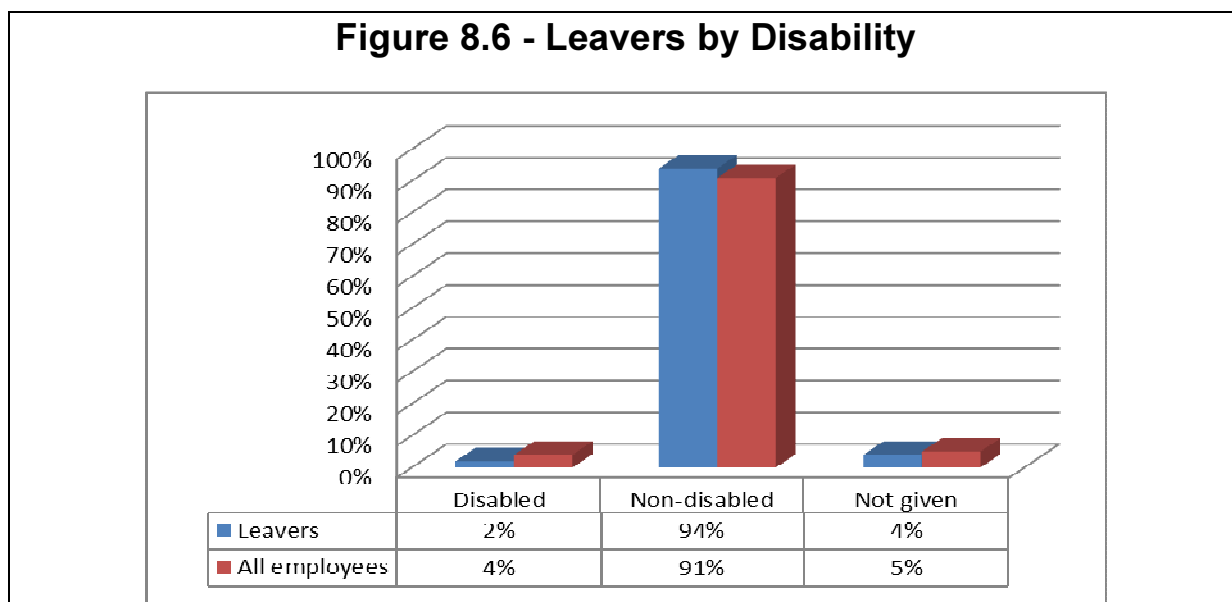
8.5 Leavers by Religion and Belief

8.5.1 Figure 8.5 shows that the percentage of leavers by religion/belief are proportionate to the profile of the Council's employees.



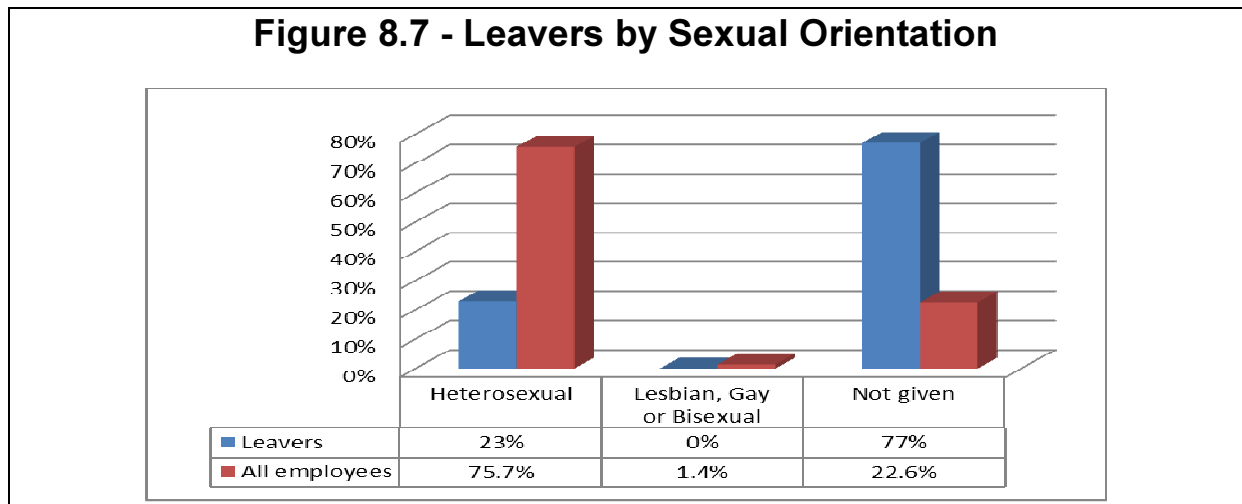
8.6 Leavers by Disability

8.6.1 Figure 8.6 shows that the percentage of leavers who have declared they have a disability are proportionate to the profile of the Council's employees.



8.7 Leavers by Sexual Orientation

8.7.1 Figure 8.7 shows that the percentage of leavers by sexual orientation are proportionate to the profile of the Council's employees.



9.0 Recommendations

Following analysis of the equalities data, the following recommendations are suggested for each area in turn:

9.1 Recruitment

9.1.1 To ensure that equalities data is collected at the shortlist and interview stage for all applicants to enable a wider analysis of the equalities data.

9.1.2 To ensure that all recruitment panel members are trained in the Council's Recruitment Policy and Equal Opportunities, and that panels are balanced particularly in terms of gender.

9.2 Employee Profile

9.2.1 There are no recommendations in this area

9.3 Performance Management (PDR ratings)

9.3.1 There are no recommendations in this area

9.4 Discipline and Grievance

9.4.1 Continue to monitor equalities data for all disciplinaries and grievances

9.5 Training Course Participants

9.5.1 To ensure that equalities data is captured for course participants attending *all* training courses, not just HR-lead courses.

9.6 Leavers

9.6.1 To review data from exit questionnaires to explore why there are a disproportionate number of male leavers compared to the total number of male employees.

9.6.2 To link this work with the recommendations from the Turnover Report that was considered and approved by the Corporate Management Team in August 2014.

EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

REPORT BY THE HEAD OF PEOPLE AND PROPERTY SERVICES

HOME WORKERS' ABSENCE REVIEW

WARD(S) AFFECTED: NONE

Purpose/Summary of Report

To review Home Workers absence management levels and to consideration recommendations

<u>RECOMMENDATIONS FOR HUMAN RESOURCES COMMITTEE:</u>
--

That:

(A)	the report and findings be noted.
-----	-----------------------------------

1.0 Background

1.1 The Human Resources Committee requested on 22 October 2014 following the Sickness Absence Report 2013/2014 that a further review was completed on Home Workers absence levels.

1.2 The Sickness Absence Report 2013/2014 stated "A comparison between home workers and office based employees sickness absence in 2013/14, showed no differential between the two groups (home workers 4.80 days per FTE compared to 4.71 days for office based employees). It is common to expect to see a reduction in sickness absence for home workers this was not the case for the Council in 2013/14."

2.0 Report

2.1 In 2013/14 there were 49 employees identified as Home Workers with home working contracts at the Council. To be categorised as a Home Worker an employee will work a regular number of

days at home (a regular pattern of home working is established - a minimum of 2 days per week). They will not have a designated workspace or desk in the office, although they have access to shared facilities, such as team desking.

- 2.2 21 employees became home workers in 2010 as part of the Changing the Way We Work programme; with a further 15 employees becoming home workers in 2012 as part of the Revenues and Benefits shared service with Stevenage Borough Council. Other employees have become home workers as part of the authority's flexible working policy.
- 2.3 Before any employee can become a home worker the impact on the employee, service and team will be taken into consideration as part of the application process. There should be no increase or decrease in workload for colleagues as a result of an employee working at or from home and as a result of that consideration not all posts at the council are suitable for home working.
- 2.4 The 2013/14 Absence Report provided a comparison between home workers and office based employees for 2013/14, showing no differential between the two groups. Home workers absence was recorded as 4.80 FTE days compared to 4.71 FTE days for office based employees.
- 2.5 The home workers absence was analysed between 2010/11 – 2013/14. We can conclude looking at the absence stats and analysis that during this four year period 8 employees have not recorded any absence since becoming home workers in 2010. There are 3 employees with underlying health issues whose absence levels have reduced since becoming home workers. Five employees have had an injury and/or operation during the review period which has made their pattern of absence unusual. The findings show that the home workers sickness absence levels are not higher than expected.
- 2.6 When home working and flexible working patterns were initially introduced in 2010; national reports showed organisations should experience a drop in absence levels for employees who embraced flexible working opportunities. In current reports where flexible working practices are more common, there is no distinction in regard to absenteeism levels between the two different working practices home working and office based (CIPD Absence Management Report 2014).

- 2.7 All employees' absence is reported on a monthly basis to the Directors and Service Heads. The Human Resources Officers work with the service managers to ensure the absence management policy is implemented fairly and consistently across the council whether the employee is a home worker or office based.
- 2.8 Managers have been receiving Bitesize training on the new absence policy and support in the implementation of the revised absence triggers.
- 2.9 It is recommended that absence levels will continue to be monitored for all employees and the Absence Management Policy followed for all employees hitting the absence trigger levels.

3.0 Consultations

- 3.1 Information on any corporate issues and consultation associated with this report can be found within Essential Reference Paper 'A'.

Background Papers - none

Sickness Absence Report April 2013 – 31 March 2014

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Report Author: Helen Farrell – Human Resources Officer Ext 1633
helen.farrell@eastherts.gov.uk

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives (delete as appropriate):	<i>People – Fair and accessible services for those that use them and opportunities for everyone to contribute</i> This priority focuses on delivering strong services and seeking to enhance the quality of life, health and wellbeing, particularly for those who are vulnerable.
Consultation:	<i>None</i>
Legal:	None
Financial:	None
Human Resource:	As detailed in the report
Risk Management:	None
Health and wellbeing – issues and impacts:	As detailed in the report

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EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

REPORT BY HEAD OF PEOPLE AND PROPERTY SERVICES

HUMAN RESOURCES MANAGEMENT STATISTICS APRIL 2014 – DECEMBER 2014

WARD(S) AFFECTED: *None specific*

Purpose/Summary of Report

This report considers the Human Resources (HR) performance indicators for the period 1 April 2014 – 31 December 2014

<u>RECOMMENDATION FOR HUMAN RESOURCES COMMITTEE</u>	
That:	
(A)	the Committee considers the HR Management Statistics April 2014 – December 2014 and determines any action it wishes officers to take arising from that consideration

1.0 Background

1.1 This report outlines the current performance against the annual HR targets as approved by the HR Committee.

1.2 This report outlines the HR quarterly performance report which was assimilated into the HR Management Statistics quarterly report in October 2014.

2.0 Report

2.1 Turnover

2.2 The turnover rates for the period 1 April 2014 – 31 December 2014 are based on the average headcount for this period (351).

2.3 The current turnover rate for the Council is 5.99%; this equates to 21 leavers in the first 9 months of 2014/15. Based on this rate the projected turnover for 2014/15 is 7.99% which is below the target

of 10%.

- 2.4 The current voluntary leaver's rate is 4.84%; this equates to 17 voluntary leavers. The projected rate is 6.46% against the target of 7%.
- 2.5 The Council continues to encourage internal movement within the organisation to fill vacancies and all vacancies must be advertised internally first, unless there are clear business reasons for going to external recruitment immediately. In this financial year so far sixty four (64) vacancies have been advertised. Twenty five (25) posts were advertised internally only; thirty nine (39) posts were advertised internally and externally. The posts advertised include permanent and temporary roles.
- 2.6 Five (5) posts have been advertised externally where the position required skills or qualifications not held by current employees.
- 2.7 Of the 64 advertised roles, twenty six (26) internal appointments and nineteen (19) external appointments have been made. Recruitment is still on going for 19 of the vacancies.
- 2.8 **Sickness Absence**
- 2.9 Sickness Absence is divided into short and long-term sickness to enable easier analysis. Sickness absence is classed as long-term after the 28th day of consecutive sickness absence.
- 2.10 The following outturns are for the period 1 April 2014 – 15 December 2014.
- 2.11 The average short-term sickness absence per FTE is currently 2.76 days overall. At the current rate the projected short-term sickness for the year is 3.67 days against a target of 4.5 days.
- 2.12 The average long-term sickness absence per FTE is 0.06 days per month. At the current rate the projected long-term sickness for the year is 0.72 days against a target of 2 days.
- 2.13 The average total sickness absence per FTE is 3.15 days per month. At the current rate the projected total sickness absence for the year is 4.72%
- 2.14 **Training and Development / Performance Management**
- 2.15 From 1 April to 31 December 2014 there were 36 new starters to the Council (this figure does not include internal changes and

transfers). Corporate inductions were held on 2 June 2014, 1 July 2014 and 30 September. There were 25 participants in the three sessions. Therefore at the end of September 69.4% of the new starters had received Corporate Induction. A further corporate induction is scheduled for January where the remainder of the new starters will attend. From January 2015 agency workers will also be included in the Induction programme. The target for attendance at Corporate Induction is 100%. Progress will be reported in the March 2015 HR statistics report.

2.16 The Council's PDR Scheme runs on two cycles.

A) Revenues and Benefits Service have their full year objectives and PDRs in June/ July. 100% of the Revenue and Benefits Service PDRs have been completed and 100% have had objectives set.

B) The rest of the Council have a full PDR in December/ January and a mid-year review in June/ July. 92.34% of mid-year reviews have been completed.

As a combined figure, to date, 95.34% of mid-year and full PDRs have been completed. As a combined figure, to date 88.16% of the Council have had objectives set. Progress on the PDR Dec 2014/Jan 2015 cycle will be reported via email in January 2015 and in the March 2015 HR statistics report.

2.17 The Learning and Development programme for 2014/15 was approved by the HR Committee in April 2014. Events/courses held between 1 April 14 – 15 December 2014 have been:

Event/Course	No of participants	Type/number of sessions held
Key user Microsoft conversion training	117	15 sessions
Here to Help	215	18 sessions
Corporate Induction	25	3 sessions
Safe Guarding Level 2	14	2 sessions
Practical Project Management	3	Joint training event with neighbouring authorities
Dementia Friends	55 (includes 13 Councillors)	Joint training event with neighbouring authorities
Trainer development	1	Joint training event with neighbouring authorities
Speed reading and retention	2	Joint training event with neighbouring authorities

Memory skills and mind mapping	8	Joint training event with neighbouring authorities
Mediation training	6	Joint training event with neighbouring authorities
Maintaining morale and motivation	2	Joint training event with neighbouring authorities
Bitesize HR Policies	26	4 sessions
Document Verification Course	17	1 session
Excel Introduction	7	1 session
Outlook Intermediate	5	1 session
Managing Challenging Customers	11	1 session
Excel Intermediate	7	1 session
Presentation skills	1	1 session
Stress Management & Coping Techniques	8	1 session
Time Management	3	1 session

2.18 Equalities Monitoring Indicators

2.19 The equalities monitoring data reported is based on a snapshot of employees (excluding casuals) as at 15 December 2014. The Senior Management Group statistics quoted refer to the Chief Executive, Directors and Heads of Service.

2.20 The current percentage of employees with a disability is 3.35%, against an indicator of 5.21%. This is a slight decrease on the September 2014 outturn of 3.98%. In the Senior Management Group (SMG) the outturn is 0% against an indicator of 11.76%.

2.21 The percentage of staff of Black and Minority Ethnic Origin is 2.79% and is a slight decrease on the September 2014 outturn of 2.84%. This is lower than the Council's indicator of 5.45% and is a decrease on the January 2012 outturn of 5.21%. The outturn for SMG is 0% against an indicator of 5.88%.

2.22 Women make up 69.27% of the workforce. Within SMG, women account for 29.4% of staff against an indicator of 41.17%.

2.23 The current equalities indicators will be reviewed in the annual Equalities and Diversity report 2013/14 with consideration given to benchmarking data available

2.24 **Policy Development**

2.24 The following policies were reviewed/developed in the last quarter and are now awaiting final approval from HRC:

- General Leave Policy
- Retirement Policy
- Flexible Working Policy
- Carers Policy

2.25 The following policies are being reviewed/developed in the next quarter:

- Smoking Policy
- Alcohol, Drug and Substance Misuse Policy
- Job Evaluation Protocol
- Shared Parental Leave Policy
- Professional Career and Vocational Study Policy
- Employee Handbook
- Expenses Policy – referred to Local Joint Secretaries

2.25 **Other**

2.26 National Pay negotiations 2014-2016 have been concluded and agreed; pay scales have been published and will be implemented from 1 January 2015. Consolidated payments, agreed through the National pay negotiations will be paid in December 2014 and April 2015.

2.27 Local Pay negotiations have recently concluded. Unison balloted their members on 18 December 2014 and the outcome was a majority decision against the proposal forward by the employer. This means that employees' terms and conditions will remain unaltered and that the local award will reduce by 2% from 1 January 2015.

2.27 **Quarterly Outturns Overview**

2.28 See **Essential Reference Paper "B"** for outturn table

2.29 See **Essential Reference Paper “C”** for PDR outturn table

3.0 Implications/Consultations

Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper ‘A’**

Background Papers

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/Objectives (<i>delete as appropriate</i>):	People This priority focuses on enhancing the quality of life, health and wellbeing of individuals, families and communities, particularly those who are vulnerable.
Consultation:	As this is a statistics update no consultation has been carried out.
Legal:	None
Financial:	None
Human Resource:	None
Risk Management:	None
Health and Wellbeing:	The health and wellbeing of employees is monitored as part of the absence management policy and procedures

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ESSENTIAL REFERENCE PAPER 'B'

	East Herts Target	Outturns as at 31 December 2014
ESTABLISHMENT		
		351
Total Headcount of Established Posts	N/A	(N.B. average for 1 April to 31 December 14)
Number of Funded Posts	N/A	389
Number of Vacant Posts	N/A	27
Current FTE	N/A	312.16
Established FTE	N/A	333.07
Vacant funded hours (expressed as FTE posts)	N/A	20.92
TURNOVER		
Turnover Rate - Annual Accumulative (All Leavers as a % of the headcount)	10%	7.99%
Voluntary Leavers as a Percentage of Staff in Post	7%	6.46%
Percentage of Ill Health Retirements	3.23%	0%
SICKNESS ABSENCE (outturns as at 15 December 2014)		
No. of short-term sickness absence days per FTE staff in post	4.5 days	2.76 days
No. of long-term sickness absence days per FTE staff in post	2 days	0.06 days
Total number of sickness absence days per FTE staff in post	6.5 days	3.15 days
TRAINING		
Percentage of New Starters receiving Corporate Inductions	100%	69.4%
Percentage of Staff with a Training Plan	100%	88.16%
Percentage of PDR reviews completed	100%	95.34
Percentage of Staff that have received Corporate Training	48.28%	93.168
EQUALITIES MONITORING		
Percentage of SMG with a Disability	11.76%	0%
Percentage of Staff with Disabilities	5.21%	3.35%
Percentage of SMG from BME	5.88%	0%
Percentage of BME Employees	2.30%	2.79%
Percentage of SMG that are Women	41.17%	29.41%
Percentage of Women Employees	N/A	69.27%
Percentage of Men Employees	N/A	30.73%

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1.0 The Council's PDR Scheme runs on two cycles.

A) Revenues and Benefits Service have their full year objectives and PDRs in June/ July. 100% of the Revenue and Benefits Service PDRs have been completed and 100% have had objectives set.

B) The rest of the Council have a full PDR in December/ January and a mid-year review in June/ July. 92.34% of mid-year reviews have been completed.

As a combined figure, to date, 95.34% of mid-year and full PDRs have been completed. As a combined figure, to date 88.16% of the Council have had objectives set.

1.1 If we break down the data by directorate, it can be noted that all three directorates have outstanding reviews and objectives to be completed.

Directorate	2013/14 Full year Review completed	2014/15 Mid-year Review completed	2014/15 Objectives completed
Customer & Community Services	96.63% (86/89)	98.85% (86/87)	98.86% (87/88)
Finance and Support Services	97.78% (132/135)	99% (133/135)	99.2% (134/135)
Neighbourhood Services	73.08% (76/104)	72.8% (81/93)	90% (85/94)
Executive	100% (6/6)	100% (7/7)	100% (7/7)

1.2 If we break down the data by service.

Service	2013/14 Full year Review completed	2014/15 Mid-year Review completed	2014/15 Objectives completed
Finance and Support Services SMG	100%	100%	75% (3/4)
Corporate Risk	100%	80% (4/5)	100%

Financial Services and Performance	100%	91% (10/11)	100%
People and Property Services	100%	100%	100%
Revenue and Benefits Shared Service	100%	100%	100%
Democratic and Legal Services	81.25% (13/16)	100%	100%
Neighbourhood services SMG	66.67% (2/3)	100%	100%
Housing Services	100%	100%	100%
Planning and Building Control	52.83% (28/53)	77.1% (37/48)	75.4% (40/53)
Community Safety and Health Services	97.3% (36/37)	96.77% (30/31)	90% (28/31)
Executive	100%	100%	100%
Customer and Community Services SMG	100%	100%	100%
Customer Services & Parking	90.91% (30/33)	100%	100%
Communications, Engagement and Cultural Services	100%	100%	100%
Economic Development	100%	100%	100%
Environmental Services	100%	96.66% (29/30)	100%

MINUTES OF A MEETING OF THE
LOCAL JOINT PANEL HELD IN THE
COUNCIL CHAMBER, WALLFIELDS,
HERTFORD ON WEDNESDAY 3
DECEMBER 2014, AT 2.30 PM

PRESENT: **Employer's Side**

Councillor Linda Haysey (Chairman)
Councillors A Jackson and J Thornton

Staff Side (UNISON)

Ms F Brown, Mr S Ellis and Mr A Stevenson

OFFICERS IN ATTENDANCE:

Lorraine Blackburn	- Democratic Services Officer
Emma Freeman	- Head of People and Property Services
Adele Taylor	- Director of Finance and Support Services

9 **GENERAL LEAVE POLICY**

The Secretary to the Employer's Side submitted a report following a refresh of the General Leave Policy which had been last reviewed in 2007.

The Secretary to the Employer's Side stated that there were no changes in terms of entitlements but that the report now referred to the introduction of a Carers Policy (see Minute 11).

In response to a query from Councillor J Thornton regarding how many staff had taken career breaks, the Secretary to the Employer's Side stated that not many had taken the opportunity. She stated that any staff applying for a career break needed to advise Human Resources what they would be doing in that time. A

Unison representative who had taken a career break stated that he did not have to justify how he would spend the time when he had applied.

The Secretary to the Employer's Side explained the position regarding part time employment and bank holidays and how this was applied on a pro rata basis. A Unison representative stated that because she worked compressed hours, she lost the benefit of a bank holiday credit to her hours. The Secretary to the Employer's Side agreed to look into this.

The Panel recommended approval of the report.

RECOMMENDED – that the General Leave Policy, as now submitted, be approved.

10 **REVISED FLEXIBLE WORKING POLICY**

The Secretary to the Employer's Side submitted a report setting out the key changes to the Council's Flexible Working Policy which had been amended to reflect new statutory rights.

Councillor J Ranger suggested that paragraph 5.1.1 should be clarified by the inclusion of "37 hours a week". This was supported. In response to a further query regarding the flexitime scheme and "banking" time, the Secretary to the Employer's Side explained how this worked. She further explained that this did not include everyone, such as those working shift patterns and casual staff working at Hertford Theatre.

The Panel recommended approval of the report as now amended.

RECOMMENDED – that the Flexible Working Policy, as now amended, be approved.

11 CARERS POLICY

The Secretary to the Employer's Side submitted a report detailing the new Carers Policy which had been developed as a result of recommendations from the Council's Health and Wellbeing Panel. She stated that the policy mirrored that of Hertfordshire County Council.

In response to a query from Councillor A Jackson regarding Bereavement Leave, the Secretary to the Employer's Side confirmed that this incorrectly stated "should not exceed 5 days in a leave year" and should match the wording in the general leave policy

Councillor J Thornton raised the issue of an informal caring arrangement of a friend. The Director of Finance and Support Services reminded Members about the duty of care the employer had to its employees and suggested that the definition of the caring role, could be specified further. This was supported. The Director of Finance and Support Services stated that it was for the employee to declare if they had a caring role and that a member of staff should not feel under pressure to have to declare this, although we would encourage staff to, so that we can support them better.

In response to a query from the Chairman, regarding the process of fairness or resolving a problem, the Secretary to the Employer's explained that the first step would be to discuss the issue with their line manager and then, if this was not satisfactorily resolved, to use the Grievance Procedure. The Secretary to the Employer's Side explained that the spirit of the policy was to help staff in supporting their caring role.

Councillor A Jackson agreed that the policy was about identifying and recognising the challenges and in trying to provide support. He welcomed the fact that the Council now had a separate policy rather than it being embedded within other policies.

The Panel, recommended approval of the report as now

amended.

RECOMMENDED – that the Carers Policy, as now amended, be approved.

12 **RETIREMENT POLICY**

The Secretary to the Employer's Side submitted a revised Retirement Policy which had last been reviewed in 2012. The Secretary to the Employer's Side stated that the policy had been updated to remove the statutory default retirement age and the need to comply with a duty to prepare and publish a written statement of its policy relating to certain discretionary powers under the Regulations which applied to the Local Government Pension Scheme (LGPS).

In response to a query from Councillor J Ranger regarding the move into retirement over a two year period, the Secretary to the Employer's Side explained that this was to ensure that people actually retired at the end of the period and reminded Members that the Council had other policies to enable staff to work flexibly. The Director of Finance and Support Services explained that flexible retirement allowed the Council to retain key skills and knowledge and allowed for better succession planning.

The Panel recommended approval of the report.

RECOMMENDED – that the Retirement Policy, be approved.

13 **APOLOGIES**

An apology for absence was received from Councillor M Alexander. It was noted that Councillor J Ranger was substituting for him.

14 MINUTES

RESOLVED - that the Minutes of the meeting held on 18 August 2014 be approved as a correct record and signed by the Chairman.

15 CHAIRMAN'S ANNOUNCEMENTS

As this was the last meeting before Christmas, the Chairman wished everyone a Happy Christmas.

It was noted that there were no reports to consider from the Secretary to the Staff Side.

The meeting closed at 3.10 pm

Chairman
Date

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EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

REPORT BY HEAD OF PEOPLE AND PROPERTY SERVICES

GENERAL LEAVE POLICY

WARD(S) AFFECTED: NONE

Purpose/Summary of Report

To approve the revised General Leave Policy

<u>RECOMMENDATIONS FOR HUMAN RESOURCES COMMITTEE:</u>
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That:

(A)	The revised General Leave Policy be approved
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1.0 Background

1.1 The Council's General Leave Policy was last reviewed in 2007. The Council's programme of policy review is after three years or sooner in line with legislation and best practice.

2.0 Report

2.1 **Key Changes**

2.2 The General Leave policy has been updated to include reference to a new Carers Policy.

2.3 The Council's General Leave Policy was last reviewed in 2007. The Council's programme of policy review is after three years or sooner in line with legislation and best practice.

2.4 The revised General Leave Policy can be found at **Essential Reference Paper 'B'**.

3.0 Implications/Consultations

3.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper 'A'**.

Background Papers

None

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Report Author: Emma Freeman – Head of People and Property Services
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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives (delete as appropriate):	People – Fair and accessible services for those that use them and opportunities for everyone to contribute This priority focuses on delivering strong services and seeking to enhance the quality of life, health and wellbeing, particularly for those who are vulnerable.
Consultation:	SMG, Unison have been consulted on the revised policy.
Legal:	None
Financial:	None
Human Resource:	As detailed in the policy
Risk Management:	None
Health and wellbeing – issues and impacts:	As detailed in the policy

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East Herts Council

General Leave

Policy Statement

**Policy Statement No 7 (Issue No 2)
January 2015**

Contents	Page
1. Introduction	3
2. Contractual Relationship during Absence	3
3. Granting and Recording Leave	3
4. Public Holidays	3
5. Annual Leave	4
6. Bereavement	5
7. Career Breaks	6
8. Citizenship Duties	8
9. Union Duties	10
10. Training Courses and Day Release	11
11. Examination and Study Leave	11
12. Interviews in Other Authorities	12
13. Leave for Medical Reasons	12
14. Discretionary Leave	13
15. Time of for Religious Observance	13
16. Unpaid Leave	13
17. Review	15

1.0 Introduction

- 1.1 The General Leave Policy provides employees and managers with information on the various types of leave entitlement.
- 1.2 This policy applies to all employees including Chief Officer level that are employed by East Herts Council.

2.0 Contractual Relationship during Absence

- 2.1 Having granted a period of paid or unpaid leave, the contract of employment between both parties remains in existence (except in the case of a Career Break) and therefore a commitment to maintain confidence, trust and act in good faith during the period of leave.
- 2.2 Employees on periods of extended leave will be required to maintain regular contact with their manager and, if appropriate, inform them of any changes in circumstance which may affect their intention to return to work.
- 2.3 Employees suspected of abusing the provisions of these procedures or fraudulently applying for leave will be subject to disciplinary investigation as detailed in the Disciplinary Policy.

3.0 Granting and Recording Leave

- 3.1 It is the Line Manager's responsibility to consider applications for special leave and use the following information as guidelines.

4.0 Public Holidays

- 4.1 Employees are entitled to public holidays, irrespective of length of service. Part time employees are entitled to a pro rata entitlement to these holidays. This is calculated as a fifth of the employee's working week, for each bank holiday, regardless whether this is a working day or not. For example, an employee working 20 hours per week would be entitled to receive 4 hours for each bank holiday.

5.0 Annual Leave

5.1 Leave Year

5.1.1 The Council operates an anniversary leave period commencing on the date an employee commenced working for the Council. Those employees starting or leaving employment during the year are entitled to leave proportionate to the number of completed weeks of service during the year.

5.2 Part Time Staff

5.2.1 Annual Leave entitlement will be applied pro-rata for part time employees based on 37 hours full time working week. For example an employee with full time equivalent 22 days annual leave entitlement working 20 hours per week will be entitled to 12 days annual leave.

5.3 Approval for Taking Leave/Carrying Forward Leave

5.3.1 All leave is taken at the discretion of your Line Manager and requests will need to be looked at in the context of the cover available within the team to ensure that the service provided is not disrupted.

5.3.2 Managers should try and plan staffing arrangements well in advance so that peak holiday periods are adequately covered so that holiday requests can be treated equitably.

5.3.3 Where a late request is received, the employee should not expect or assume that it will be granted and managers should treat such requests, due to unexpected events, sympathetically. As a general rule, however, employees should give at least twice the amount of notice that they wish to take as leave. Therefore, if 5 days' holiday is being requested, at least 10 working days' notice is required.

5.3.4 As far as possible all employees should take their annual leave before the end of their leave year. Where this is not possible up to five days annual leave may be carried forward into the next leave year with the prior written consent of their Line Manager.

5.4 Cancelling Leave due to sickness

5.4.1 If an employee is due to go on annual leave or during their leave becomes unwell, any absence will be counted as sickness absence

rather than annual leave if a fit note is provided. Employees must notify their manager as soon as possible to inform them that they are unwell. Details of the nature of the illness and an indication of the expected return to work should be provided.

5.5 Continuous Service

5.5.1 Employees who have 5 years' local authority service with East Herts or another local authority are entitled to an extra 5 days annual leave.

5.6 Basic Leave Entitlement

The basic leave entitlement is dependent upon the scale point an employee has reached. It is banded as follows:-

SCP 6 - 21	22 days
SCP 22 - 28	24 days
SCP 29 - 31	26 days
SCP 32 - 34	27 days
SCP 35 and above	28 days

6.0 Bereavement

6.1 Bereavement of Immediate Family Members

6.1.1 When an employee suffers the loss of an immediate family member, for example, partner, child, parent or sibling, the employee will be entitled to 5 paid days leave. Leave may be taken at/or around the time of bereavement at the employees request.

6.1.2 If the employee has the same relationship with the deceased as described above, for example, having been brought up by the person, then the same provision of leave will apply.

6.1.3 Managers should endeavour to facilitate any requests for leave in these circumstances. However, if the Manager has any query regarding leave arrangements these should be discussed with the appropriate Head of Service and Human Resources before any action is taken.

6.1.4 There may be circumstances where an employee requires more than the 5 days leave when an immediate family member has died. In this event the employee should make their Line Manager aware of the

situation in order to arrange that annual leave or accrued flexi time can be added on.

6.2 Bereavement of Relatives / Friends

6.2.1 When an employee suffers the loss of a relative or friend, for example, grandparent, aunt/uncle or neighbour, the employee will be entitled to 1 day's paid leave to attend the funeral.

6.2.2 Line Managers should endeavour to facilitate any requests for leave in these circumstances. However, if the Line Manager has any query regarding leave arrangements these should be discussed with the appropriate Head of Service and Human Resources before any action is taken.

6.2.3 There may be circumstances where an employee requires more than 1 day's leave when a relative or friend has died. In this event the employee should make their Line Manager aware of the situation in order to arrange that annual leave or accrued flexi time can be added on.

7.0 Career Breaks

7.1 What is a Career Break?

7.1.1 A career break enables an employee with 2 years continuous service with the Council to take an unpaid break from work for personal reasons and maintain continuity of service with the Council. The employee is required to give a minimum of 3 months' notice to commence a career break. With the exception of continuity of service, all other terms of the employment contract with the Council will be suspended. On return, at an agreed date following the career break, the employee will be able to return to the same or similar post within the Council without competitive selection.

7.1.2 It is recognised that during an employee's working life there will be times when personal commitments may take priority over work for example, bringing up children, longer term care for sick or elderly relatives, or pursuing a course of further education. The Council can accommodate such personal commitments, where operationally practicable, through career breaks.

7.2 What is the purpose of a career break?

7.2.1 The purpose of a career break could be:

- To extend the maternity leave period
- To extend a period of adoption leave
- To care for dependent relatives
- To enter full time education
- Extended foreign travel
- To convalesce after a period of illness or major life crisis such as bereavement or divorce

These reasons are not all inclusive and others may be considered, with the major exception of taking up other paid employment.

7.2.2 How long is a career break?

The minimum break is 3 months and the maximum break is 1 year.

There is no limit to the number of career breaks an employee can take providing that they return to work for the Council for a minimum of 2 years between each career break.

7.2.3 Who can apply for a career break?

All permanent employees, with at least two years continuous service with the Council, regardless of the number of hours worked, are eligible to apply for a career break.

An employee must submit their request to their manager, with a copy to Human Resources stating when they would like their career break to commence, the reason for their career break and the durations of the requested break.

7.2.4 What happens to the employee's job?

After a career break the employee will have the right to return to their same or equivalent position (in terms of service area and pay) where this is available. However, where this is not available the Council will

offer an alternative which can include work elsewhere in the Council at a different level and pay. The new job would need to be a suitable alternative, within the definition used when employees are facing redundancy. (see Redundancy policy for more details)

7.2.5 Extending or cutting short the career break

If the employee wishes to extend the career break, they must do so in writing giving a minimum of three months' notice. The Line Manager will give consideration to the extension along the same lines as the original request and may grant up to one year in total.

There will be no automatic right to cut short a career break but Line Managers will consider such requests from an employee as they can accommodate, without impacting on service level.

7.2.6 Contract of employment

The employee will be required to sign an agreement suspending all terms of their contract of employment, with the exception of continuity of service with the Council. The contract of employment will remain suspended for the duration of the career break. This will not constitute a break in service and general conditions of service will apply as at the start of the career break when the employee returns to work.

7.2.7 Rate of Pay/Pension

At the end of the career break the employee will return to the same incremental point they were on at the start of the career break which may result in salary protection if the post has been downgraded in a restructure.

Employees considering career breaks should contact LPFA pensions for more information.

7.2.8 Disciplinary warnings

Any live disciplinary warnings will be suspended for the duration of the career break and will be carried forward upon the employee's return to work.

Please also view the Flexible Working Policy for more information.

8.0 Citizenship duties

8.1 Elected Members of other Council Authorities

8.1.1 Employees who undertake duties as an Elected Member in another authority will be allowed to take up to a maximum of 10 days paid leave per annum. Leave must be used to attend official functions or meetings. Requests for leave must be accompanied by proof that attendance is required.

8.1.2 All employees paid on or above SCP 44 are politically restricted and therefore, unable to undertake these duties. Other employees may also be restricted from undertaking these duties. Guidance should be sought from their line manager or Human resources. In both circumstances the restriction will be detailed in the employee's contract.

8.1.3 It is the Line Manager's responsibility to approve and monitor requests for time off to undertake Civic Duties. However, if the Manager has any query regarding leave arrangements these should be discussed with the appropriate Head of Service and Human Resources before any action is taken.

8.2 Magistrates

8.2.1 Employees who are Magistrates will be allowed to take up to a maximum of 10 days paid leave per annum. Leave must be used to attend court sessions. Requests for leave must be accompanied by proof that attendance is required.

8.2.2 It is the Line Manager's responsibility to approve and monitor requests for time off to undertake Civic Duties. However, if the Line Manager has any query regarding leave arrangements these should be discussed with the appropriate Head of Service and Human Resources before any action is taken.

8.3 Court Attendance as a Witness/Jury Member

8.3.1 Employees summoned as a witness or jury member will be allowed the necessary time off to attend court. The employee should inform their Line Manager at the earliest convenience and pass on the summons document to Payroll for completion.

8.3.2 Any monies received by an employee to compensate for loss of pay must be declared to Payroll.

8.4 Active Citizen Duties

8.4.1 Employees who volunteer their expertise for public service may take up to 3 days paid leave per annum to attend formal meetings or functions.

8.4.2 Applications for leave must be accompanied by proof that attendance is required. Leave will be granted at the discretion of the manager.

8.4.3 The definition of active citizenship duties would include School Governors, Trustees of Charitable Trusts, Management Committee members of charitable trusts, members of publicly constituted watchdog organizations. N.B. This list is not exhaustive and other bodies may fall into this category.

8.5 Service in Reserve Forces

8.5.1 Employees who are members of the Reserve Forces may be required to attend summer camp on an annual basis. Two weeks' paid leave will be allowed in these circumstances.

8.5.2 Employees are required to give as much notice as possible for annual camp in order for the Line Manager to arrange appropriate cover. Leave may be refused if it would have a detrimental impact on service delivery.

8.5.3 In circumstances where a reservist employee is mobilised they will not be paid by East Herts Council and should be placed on a Career break for payroll purposes to ensure their continuous service is not broken.

9.0 Union duties

9.1 Time off to Undertake Trade Union Duties

9.1.1 Unison stewards and officers are entitled to reasonable time off for Unison activities in accordance with the Recognition and Procedural Agreement 2004. As much notice as possible must be given to their line manager of absence due to union duties.

9.1.2 When the Employer request Unison to attend meetings, the employees concerned will be allowed paid time off from their normal duties to attend. Any additional expenses incurred by attendance will be reimbursed under the normal Council guidelines subject to approval by the Employer before they are incurred.

9.2 Unison Annual General Meeting

9.2.1 The annual general meeting will be arranged in consultation with the Chief Executive who should be given at least one month's notice of the date of the meeting.

9.2.2 The meeting will generally be held at lunchtime and Unison members attending may credit flexi time up to the end of the meeting.

9.3 Executive and Safety Committee Meetings

9.3.1 Unison will hold monthly executive meetings at Wallfields, Hertford and occasionally other EHDC venues.

9.3.2 The meeting may commence any time after 16.00 hours and employees attending may credit the flexi system until the end of their attendance or until 17.30 hours whichever is first.

9.4 Other Trade Union Activities

9.4.1 Managers may allow reasonable time off for Unison Officers to attend training courses, regional meetings and the annual conference in accordance with the Recognition and Procedural Agreement 2004.

10.0 Training Courses and Day Release

10.1 Employees who are required by the Council to participate in training events and/or day release courses will be allowed paid time off.

10.2 Employees will not be required to work extra hours to compensate for time off to attend Council run training events or courses. If an employee attends a course the time should be recorded in flexi time in accordance with the Flexitime Policy and guideline.

11.0 Examination & Study Leave

- 11.1 Employees who are required by the Council to undertake training course examinations will be allowed paid time off to do so. The time should be recorded in accordance with the Flexitime Policy and guide line.
- 11.2 Employees may apply to take one day's study leave per exam at the discretion of their manager.
- 11.3 Time off to resit exams should be taken as annual leave or flexi leave.
- 11.4 Employees should inform their manager of dates and times of examinations in order that cover arrangements can be made.

12.0 Interviews in other Local Authorities

- 12.1 Employees will be able to take up to 5 days' paid leave per annum in order to attend interviews at other Local Authorities.
- 12.2 It is the Line Manager's responsibility to approve and monitor requests for time off to attend Local Authority Interviews. However, if the Manager has any query regarding leave arrangements these should be discussed with the appropriate Head of Service and Human Resources before any action is taken.

13.0 Leave for Medical Reasons

13.1 Medical Screening

Employees will be entitled to paid time off for the purpose of medical screening as deemed necessary by their GP or any relevant medical body.

Employees should inform their Line Manager of date and times of the appointment and provide details of appointments as soon as practicable in order that cover arrangements can be made.

13.2 Hospital Appointments

Employees are entitled to paid time off to attend hospital appointments following referral by their GP or any relevant medical body.

Disability leave should be considered where a person needs time off every week, every few weeks, every few months or every year for medical appointments, treatments or rehabilitation relating to disability. Disability leave should not be counted towards trigger points. Please refer to the Absence Policy for detail.

Employees should inform their Line Manager of date and times of the appointment and provide details of appointments as soon as practicable in order that cover arrangements can be made

13.3 Fertility Treatment

An employee will be given reasonable time off to undertake fertility treatment.

Employees must agree their time off arrangements with their manager in advance of the appointments and produce their appointment card where appropriate.

Employees on flexi-time should record time to attend appointments as described in the Flexitime Policy in the section relating to hospital appointments.

13.4 GP and Dental Appointments

Normally employees should use flexi time to visit their GP or Dentist or arrange appointments outside work time.

14.0 Discretionary Leave

14.1 Heads of Service have discretion to grant to staff up to 5 days paid leave per annum. Discretionary leave will normally be used by employees who need to be with a seriously sick dependant or relative. However, the circumstances of each application will be considered thoroughly. Please also refer to the Carers Policy for further details.

15.0 Time off for Religious observance

15.1 Many religions or beliefs have special festival or spiritual observance days. Employees may request holiday in order to celebrate festivals

or attend ceremonies. Line Managers should sympathetically consider such requests and grant leave out of holiday entitlement, flexitime or unpaid leave.

16.0 Unpaid leave

16.1 Time off for Dependants

Employees will be allowed reasonable unpaid time off to take the appropriate action necessary to resolve or deal with an issue which has arisen because of a dependant. The need to take time off will have arisen without notice and cannot be resolved without the employees' assistance. This provision is from Parental Leave (see section 13 in *Maternity, Paternity and Adoption Leave Policy & Procedure*).

Those classed as 'dependant' will normally be a child, partner or someone who reasonably relies on the employee for care and assistance.

Employees will be expected to contact their Line Manager as soon as practicable and advise them on the length and reason for their absence.

Examples of when Time off for Dependants Leave would be appropriate are as follows:-

- To assist when a dependant falls ill, is injured or assaulted,
- To make arrangements for the provision of care for a dependant who is ill or injured,
- Because of an unexpected disruption of care arrangements,
- To be with a dependant when she gives birth,
- In consequence of a dependants death.

These examples are not exhaustive and managers receiving requests for other than those situations detailed above should consult with their Head of Service and Human Resources before granting leave.

16.2 Court Attendance to Pursue a Personal Claim

Employees who are attending court as the accused or to pursue a personal claim will be required to take annual or flexi leave.

16.3 Flexibility for Carers

East Herts Council recognises that some employees have caring responsibilities and may need support to combine work with care. Please refer to the Carers Policy for further information about East Herts Council's commitment to supporting carers and the outline of the support available.

17.0 Review

This procedure will be reviewed every three years or sooner if there are any changes in legislation requiring amendments to be made.

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EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

REPORT BY HEAD OF PEOPLE AND PROPERTY SERVICES

CARERS POLICY

WARD(S) AFFECTED: NONE

Purpose/Summary of Report

To approve the new Carers Policy

<u>RECOMMENDATIONS FOR HUMAN RESOURCES COMMITTEE:</u>	
That:	
(A)	The new Carers Policy be approved

1.0 Background

1.2 The Carers Policy is a new policy created to address the needs of employees with significant caring responsibilities that have a substantial impact on their working lives.

1.3 The Carers Policy supports the Health and Wellbeing Agenda.

2.0 Report

2.1 **Key Changes**

2.2 The Carers Policy is a new policy created to address the needs of employees with significant caring responsibilities that have a substantial impact on their working lives.

2.3 The new Carers Policy can be found at **Essential Reference Paper 'B'**.

3.0 Implications/Consultations

3.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper 'A'**.

Background Papers

None

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Report Author: Emma Freeman – Head of People and Property Services
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Emma.Freeman@eastherts.gov.uk

ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives <i>(delete as appropriate):</i>	People – Fair and accessible services for those that use them and opportunities for everyone to contribute This priority focuses on delivering strong services and seeking to enhance the quality of life, health and wellbeing, particularly for those who are vulnerable.
Consultation:	SMG, Unison have been consulted on this new policy.
Legal:	None
Financial:	None
Human Resource:	As detailed in the policy
Risk Management:	None
Health and wellbeing – issues and impacts:	The policy has been developed to support the Health and Wellbeing agenda and Carers in Hertfordshire report raised at the Health and Wellbeing Panel on 17 June 2014.

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East Herts Council

Carers Policy

Policy Statement

Policy Statement No 44 (Issue No. 1) January 2015

<u>Contents</u>	Page
1. Introduction	3
2. Policy definitions	3
3. Identification and Disclosure	4
4. Resources and Support	4
5. Flexibility for Carers	5
6. Time off for Carers	7
7. Review	8

1. **Introduction**

- 1.1. This policy sets out East Herts Council's commitment to supporting carers and outlines the support that is available.
- 1.2. East Herts Council recognises that many employees have caring responsibilities and many of these individuals may need support to combine work with care.
- 1.3. East Herts Council respect and value the diversity of individuals and embrace Equality and Diversity in everything we do in line with East Herts Council's organisational values. East Herts Council's policies apply to all staff regardless of age, sex, race, sexual orientation, gender reassignment, disability, pregnancy or maternity, religion or belief.
- 1.4. This policy applies to all employees including Chief Officer level that are employed by East Herts Council.

2. **Policy Definitions**

- 2.1. East Herts Council define a carer as:

Someone who is the parent of a disabled child or provides help and support to a partner, relative or friend, who may not be able to manage without this help because of frailty, illness or disability.

- 2.2. This description means employees with significant caring responsibilities that have a substantial impact on their working life. An employee is a carer if they are responsible for the care and support of a disabled, elderly or sick partner, relative or friend who is unable to care for him or herself. More than one person may be a carer for the same person (for example, both partners caring for a disabled child and two siblings caring for a frail parent).
- 2.3. The activities that carers undertake are wide ranging, including:
 - help with personal care;
 - help with mobility;
 - managing medication;

- practical household tasks;
- emotional support; and
- help with financial matters or paperwork.

2.4 East Herts Council define a **parent** as:

Someone who is the parent or guardian of a child or children

Child or children are those aged 18 or under and a parent must have responsibility for the upbringing of the child or children.

Any references in this policy to partner applies to both heterosexual and same-sex relationships.

3. **Identification and Disclosure**

- 3.1 Employees are not required to disclose to their manager they have caring responsibilities, unless they wish to apply for flexible working options or request additional leave for caring responsibilities. This will enable the manager to discuss with the employee the options and support available to them (see Resources and Support section). The employee's confidentiality concerning this information will be respected.

Where responsibilities change during an employee's career, they can update their records by contacting the Human Resources Service.

4. **Resources and Support**

- 4.1 There are a number of sources of support for Carers in Hertfordshire:

- **HCC's Health and Community Services (HCS)**
 - Committed to supporting carers through the Multi Agency Carers Strategy
 - Carry out carer assessments
- **Carers in Hertfordshire**
 - Carers in Hertfordshire give support and information to unpaid family and friends who look after someone

- Carers in Hertfordshire offer a range of free workshops and training related to caring as well as courses and learning events to help with your life outside caring through their Carers and Learning project.
- **Crossroads**
 - Provide support to carers via 'care at home' to give carers a break
 - Contact details are available on their website.
- **Health and Wellbeing Benefits**
 - East Herts Council provides advice, guidance and benefits to help employees maintain a healthy work-life.
 - Guidance available to employees can be found on our intranet under Health and Wellbeing Benefits.
- **Employee Assistance Programme (PPC)**
 - East Herts Council's employee assistance programme (EAP) through PPC is available 24 hours a day, 7 days a week. It offers general information, advice and counselling (over the phone or face-to-face).
- **Childcare Voucher Salary Sacrifice Scheme**
 - East Herts Council's salary sacrifice scheme enables employees to save on tax and national insurance. Further information is on the East Herts Council's intranet pages.

5. **Flexibility for Carers**

- 5.1 All of the following arrangements are subject to the needs of the service and agreement by the relevant manager in the service.
- 5.2 Agreement to permanent alternative working patterns may also be subject to a trial period, which should be jointly agreed.

5.3 **Flexible Working**

Flexible working hours allow flexibility in starting and finishing times along with the opportunity to take flexi time. The scheme does not however operate in all teams; managers

will advise what flexibility can be offered in a particular service area. For further information see the Flexi time (condensed) and Flexi time Guidance notes

The employee must inform their manager if their caring responsibilities change as the informal flexible working arrangement may need to be reviewed and the employee may require more or less support.

Managers have the right to review and turn down informal flexible working arrangements if they do not fit in with the business needs, for example, if an employee needs to work from home on the day team meetings are held.

5.4 Flexible Working Requests

The Flexible Working Policy details the various flexible working options that can be requested on a permanent or temporary basis including:

Part time working: Reducing hours to meet caring responsibilities

Home working: Enables employees in certain jobs to work from home

Annualised hours: Employees who are contracted to work a specific number of hours over a year. This allows some flexibility in when hours are worked, e.g. reduced hours during school holiday periods and increased hours during term time

Job sharing: This involves two people sharing a full time post

Compressed hours: The working week is compressed into fewer working days e.g. 37 hours can be worked in a 4 day week or 4 1/2 day week

Career breaks: These enable employees to take an unpaid break from work for personal reasons; this includes caring for dependants or extending a period of maternity/adoption leave. For further information see the General Leave Policy.

6. **Time off for Carers**

6.1 Requests for leave should be made to the manager and recorded in line with the General Leave Policy.

6.2 **Attendance of Carer Support Groups**

Managers may approve flexitime for employees wishing to attend a carers' support group, if these fall within normal working hours.

6.3 **Emergency and discretionary leave**

Heads of Service may approve up to 5 days paid leave in any leave year for a variety of reasons including caring for sick dependants or dealing with unexpected care issues. For example, discretionary leave will normally be used by employees who need to be with a seriously sick dependant or relative if home-care arrangements break down and an employee suddenly needs to make alternative arrangements or an employee needs to collect a dependent due to an unexpected injury or illness. For further information see the General Leave Policy.

6.4 **Bereavement leave**

Managers may approve up to 5 days paid leave for employees to deal with the death of a close relative. For further information see the General Leave Policy.

6.5 **Unpaid leave**

Managers may approve reasonable unpaid leave to allow employees to resolve or deal with an issue arising, without notice, because of a dependant. Please refer to the General Leave Policy.

6.6 **Annual leave**

Employees can carry forward up to 5 days holidays for their annual entitlement per annum to help with caring responsibilities. For more information, please refer to the Flexible Working Policy and General Leave Policy.

6.7 **Maternity support and Parental leave**

In addition to the above, there are a range of options specifically available to help employees with parenting responsibilities including: Parental Leave, Maternity Leave, Shared Parental Leave and Adoption Leave. For further information, please refer to the Council's policies.

7.0 **Review**

This procedure will be reviewed every three years or sooner if there are any changes in legislation requiring amendments to be made.

EAST HERTS COUNCIL

HUMAN RESOURCES COMMITTEE - 14 JANUARY 2015

REPORT BY HEAD OF PEOPLE AND PROPERTY SERVICES

RETIREMENT POLICY

WARD(S) AFFECTED: NONE

Purpose/Summary of Report

To approve the revised Retirement Policy

<u>RECOMMENDATION FOR HUMAN RESOURCES COMMITTEE:</u>	
That:	
(A)	The revised Retirement Policy be approved.

1.0 Background

1.1 The Council's Retirement Policy was last reviewed in 2012. The Council's programme of policy review is after three years or sooner in line with legislation and best practice. Significant changes were made to the Local Government Pension Scheme with effect from 1 April 2014.

1.2 East Herts Council as an employer is under a legal duty to prepare and publish a written statement of its policy relating to certain discretionary powers under the Regulations which apply to the Local Government Pension Scheme ("the LGPS").

1.3 East Herts Council is also under a duty to formulate, publish and keep under review the policy that East Herts Council applies in exercising discretionary powers under Regulations relating to the

payment of compensation to employees whose employment is terminated as a result of redundancy or certain other reasons.

2.0 Report

2.1 **Key Changes**

2.2 The Retirement policy has been updated to reflect the changes in the Local Government Pension Scheme and the repeal of the statutory default retirement age (the previous policy covered the transitional arrangements between 1 October 2011 and 3 October 2012 which is no longer relevant). The Policy has also been updated to reflect changes in the Council's life insurance scheme.

2.3 The revised Retirement Policy can be found at **Essential Reference Paper 'B'**.

2.4 The policy on Exercise of Employer Discretions (**Essential Reference Paper C**) is intended to comply with the Council's duties and sets out the discretionary powers concerned, identifies the relevant Regulation that gives East Herts Council the discretion and describes how the discretion will be exercised.

3.0 Implications/Consultations

3.1 Information on any corporate issues and consultation associated with this report can be found within **Essential Reference Paper 'A'**.

Background Papers

None

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ESSENTIAL REFERENCE PAPER 'A'

IMPLICATIONS/CONSULTATIONS

Contribution to the Council's Corporate Priorities/ Objectives (delete as appropriate):	People – Fair and accessible services for those that use them and opportunities for everyone to contribute This priority focuses on delivering strong services and seeking to enhance the quality of life, health and wellbeing, particularly for those who are vulnerable.
Consultation:	SMG, Unison and LPFA have been consulted on the revised policy.
Legal:	East Herts Council as an employer is under a legal duty to prepare and publish a written statement of its policy relating to certain discretionary powers under the Regulations which apply to the Local Government Pension Scheme ("the LGPS").
Financial:	East Herts Council is also under a duty to formulate, publish and keep under review the policy that East Herts Council applies in exercising discretionary powers under Regulations relating to the payment of compensation to employees whose employment is terminated as a result of redundancy or certain other reasons.
Human Resource:	As detailed in the policy
Risk Management:	None
Health and wellbeing – issues and impacts:	As detailed in the policy

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East Herts Council

Retirement Policy

Policy Statement

Policy Statement No 37 (Issue No 3)

January 2015

CONTENTS

1.0	INTRODUCTION	3
2.0	SCOPE OF THE POLICY	4
3.0	GENERAL RETIREMENT PROCEDURE	4
4.0	DISCRETIONS TAKEN BY THE COUNCIL	7
5.0	REMOVAL OF THE 85 YEAR RULE	8
7.0	EARLY RETIREMENT (VOLUNTARY REQUEST) (REGULATION 30)	10
8.0	RETIREMENT ON ILL HEALTH GROUNDS	100
9.0	FLEXIBLE RETIREMENT	122
10.0	AUTHORISATION PROCEDURE FOR EARLY/ FLEXIBLE RETIREMENT	133
11.0	RE-EMPLOYMENT AND ABATEMENT	143
12.0	POLICY REVIEW AND AMENDMENT	144

1.0 Introduction

- 1.1 This policy sets out the Council’s approach to retirement.
- 1.2 The Council does not have a mandatory retirement age.
- 1.3 The Normal Pension Age under the Local Government Pension Scheme (LGPS) is the same as the State Pension Age for that employee (but with a minimum of age 65).
- 1.4 The Council is committed to equal opportunities for all its employees. The Council recognises the contributions of a diverse workforce, including the skills and experience of older employees. It believes that employees should, wherever possible, be permitted to continue working for as long as they wish and are able to do so. The Council operates a flexible retirement policy and employees may request voluntary retirement at a time of their choosing.
- 1.5 The Council has adopted this policy and procedures with the aim of dealing with every individual member of staff in a caring, sensitive manner and in the best interests of the Council.
- 1.6 The Council recognises that changes in operational requirements will mean that some jobs become redundant or alter substantially to improve service efficiency. In either situation the Council will strive to avoid dismissals. Therefore, prior to early or flexible retirement being agreed for either of these reasons, all other alternatives such as redeployment and retraining will be explored. It would normally be expected that members of staff would be placed in the Redeployment Register to seek alternative employment within the Council unless it is agreed that this is not required.
- 1.7 The Local Government Pension Scheme (LGPS) summary guide should be referred to when considering retirement. This is available on request from LPFA Pensions.
- 1.8 All Councils are required to have a formal statement of their policy on their discretions under the Pension Regulations and keep this under review. Appendix B sets out those discretions. Any amendment to this policy must be published at least one month before it takes effect.

1.9 The LGPS also contains procedures for complaints or appeals from staff within an Internal Disputes Procedure who think there has been a mistake or that their entitlement has been incorrectly assessed. Details can be obtained from LPFA Pensions.

1.10 Nothing in this policy statement varies the statutory provisions relating to the LGPS and redundancy provisions. Employees considering retirement within the scope of this policy should take independent financial advice and in support of that the Council will provide estimates of benefits and entitlements.

2.0 Scope of the Policy

2.1 This policy applies to all employees, of East Herts Council including Chief Officers.

2.2 Employees who are members of the Local Government Pension Scheme may be able to obtain early release of their pension benefits in certain circumstances. These are:-

- a) Early termination of employment for Redundancy (see Redundancy policy)
- b) Early termination of employment in the interests of the efficiency of the service
- c) Early retirement (voluntary requests)
- d) Retirement on ill health grounds
- e) Flexible retirement (part pension/part employment)

2.3 Sections 3 – 11 of the policy cover employees who are members of the Local Government Pension Scheme (LGPS). Note that some of the benefits apply also to employees who are eligible to be members.

2.4 This policy and procedure should be considered alongside the following:-

- Provisions of the New LGPS Scheme
- The Council’s Absence Management Policy
- The Council’s Redundancy Policy

3.0 General Retirement Procedure

3.1 If an employee has decided that they wish to retire, they should inform their line manager in writing as far in advance as possible

and, in any event, in accordance with their notice period as set out in their contract of employment. This will assist the Council with its succession planning. Please see Appendix A for form.

- 3.2 The Line Manager will write to the employee acknowledging the employee’s notice to retire.
- 3.3 The Line Manager will arrange a meeting with the employee to discuss arrangements for retirement, including the intended retirement date, succession and handover plans, pension details and phased retirement, if applicable.
- 3.4 The Council may offer pre-retirement training as part of the Learning and Development programme. Details of this training are available from the HR department.
- 3.5 Employees should consider their pension provision and take independent financial advice before making any decision in relation to retirement. The Council is prohibited from giving pension advice.

3.6 Workplace discussions

- 3.6.1 The Performance Development Review meetings are a good opportunity for employees and managers to discuss the Council’s and individuals future plans and expectations. During these meetings employees may discuss their future plans or proposals for retirement. This can also be done at their monthly 1-2-1 meetings. A record of any discussions will be kept in the usual way and a copy given to the employee.
- 3.6.2 A discussion about possible retirement will not result in the Council making any assumptions about the employee’s commitment to the Council. The Council seeks to retain the best talent, including older employees. Workplace discussions are an informal opportunity for both the Line Manager and employees to plan jointly for the future.

3.7 Succession planning

- 3.7.1 An employee who is shortly to retire will often have considerable knowledge in relation to their role and responsibilities. The Council may require the employee’s assistance and cooperation for succession planning.

3.7.2 Prior to retirement, employees should cooperate with the Council, if requested to do so, by:

- providing full written details of the status of work projects and future steps
- assisting with reviewing the job description, if necessary
- ensuring a smooth handover of work
- assisting in training any successor

3.8 Pension and insurance benefits

3.8.1 Employees who have reached their Normal Pension Age who are members of the Council's occupational pension scheme will remain entitled to the benefits of the scheme, in accordance with its rules.

3.8.2 Employees working after their Normal Pension Age may

- a) put their benefits to date into payment from their Normal Pension Age and
 - start a new period of pensionable service by continuing to make contributions
 - OR
 - Cease making contributions
- b) defer accrued benefits to retirement

The Council will continue to pay the employer's contributions for as long as an employee pays into the fund. According to Local Government Pension Scheme criteria employees receive their pension on retirement or the eve of their 75th birthday, whichever occurs first. Pension drawn after Normal Pension Age will be paid at an increased rate. Employees taking flexible retirement after Normal Pension Age will also have increased benefits to reflect late payment. For further information contact LPFA.

3.8.3 Employees who are members of the Council's pension scheme and who have decided to retire on a specific date may request details of their pension entitlement from Payroll.

3.8.4 The Council's pension scheme allows employees to draw their pension at any time from the age of 55. However, if the pension is drawn before Normal Pension Age, pension payments will be subject to a reduction.

3.8.5 The Council provides life insurance for all employees including casuals working more than one hour per week, until their 65th birthday. Employees who are in the life insurance scheme at the renewal prior to their 65th birthday will remain covered until the day before their 70th birthday when cover ceases and cannot be extended further. New employees aged 64 or greater must complete an application form provided by HR to seek an extension of cover up to their 70th birthday. The insurer will consider the application and notify the Council of their decision. Enrolment is not automatic. It is not feasible to continue this benefit for employees 70 and over. Therefore, in accordance with current legislation, the Council withdraws life insurance cover for any employee who has reached the age of 70 or over.

4.0 Discretions taken by the Council

4.1 In taking the decisions relating to discretions the Council is required to be mindful of the extent to which the exercise of these discretionary powers (in accordance with the policy), unless properly limited, could lead to a serious loss of confidence in the public service; and be satisfied that the policy is workable, affordable and reasonable having regard to the foreseeable costs.

4.2 The aims in formulating the policy are:

- to maintain as far as possible levels of compensation consistent with what had been provided under previous regulations and discretions;
- to make the policy simple and easy to understand.

4.3 East Herts Council retains the discretion to decide whether or not to grant early/flexible retirement and will take into account, among others, the following factors:-

- The need to retain an appropriate balance of skills and experience in the service concerned;
- The business need to ensure services are maintained and delivered effectively; and
- The cost of the retirement to the Council and pension scheme compared to the potential savings accruing from the proposal.
- Potential savings identified by the retirement to the Council.

The above list is not exhaustive and there may be other relevant factors that may be taken into account in individual cases.

- 4.4 These provisions contain general policy guidance and each individual case will be considered on its merits and special reasons as to why the general policy might be varied will be taken into account. The final decision on all cases will be made by Corporate Management Team (CMT) on the basis of a report by the individual’s Head of Service or HR Committee with respect to a Chief Officer. In addition, as appropriate the provisions of the Council’s current policies on redundancy and absence management will guide the process.

5.0 Rule of 85 protection

- 5.1 The 85 year rule **no longer applies** unless an employee has a rule of 85 protection. To have a rule of 85 protection employees must have been a member of the LGPS on 30 September 2006. The rule of 85 is satisfied if an employee’s age at the date when they draw their pension plus their Scheme membership (each in whole years) adds up to 85 years or more.

- 5.2 For those members who have rule of 85 protection this will continue to apply. It protects some or all of a member’s benefits from the normal early payment reduction and will automatically be applied (except where a member voluntarily draws their pension on or after age 55 and before age 60 – as this is a new option in the scheme from April 2014). For more information on the 85 year rule visit the LGPS website www.lgps.org.uk

6.0 Early Retirement for the Efficiency of Service

6.1 Criteria

- Initiated by management in accordance with the Council’s Redundancy Policy
- To facilitate organisational change short of redundancy
- Other options such as redeployment or retraining have been considered and discussed with HR
- Case is justified by at least one of these four factors – effectiveness, economy, health and compassion

- Significant improvement in organisational efficiency e.g. needs of job have changed, new skills required, need to work in a different way
- Post will be replaced
- Demonstrate savings e.g. replacement at lower grade or point on salary scale or greater productivity
- The employee has at least three months total membership or has brought a transfer value into the LGPS
- The Head of Service will submit a report for approval to CMT.

6.2 Circumstances in which Early Retirement for the Efficiency of Service may be appropriate

6.2.1 Where, due to no fault of an individual member of staff, the work method or job content have altered to the extent that they affect fundamentally the competence of the member of staff (e.g. technology, changes in legislation or organisation, development of professional standards). Note: If the job content changes greatly, redundancy may be more appropriate. Consult HR.

6.2.2 Where a member of staff has a particular medical condition which, whilst not considered by the Council's Occupational Health Adviser to justify retirement on the grounds of ill health does significantly impede the proper performance of the job.

6.2.3 Where a member of staff has particular personal or domestic circumstances, which are overwhelming to the extent that the interests of the service suffer.

6.2.4 Where, through a reorganisation or other reasons, the scope and content of the duties and responsibilities have diminished to the extent that, whilst not justifying redundancy, they nevertheless adversely affect the efficiency of the organisation.

6.2.5 Where a combination of circumstances, both in the job and the individual are adversely affecting efficiency, but where these circumstances do not involve wilful inadequate performance, which should be more appropriately the subject of disciplinary or capability action.

6.3 Circumstances in which Early Retirement for the Efficiency of Service is not appropriate

- 6.3.1 If the member of staff has a medical condition ill health retirement should be explored first, and efficiency retirement should be used only if 6.2.2 above applied.
- 6.3.2 Efficiency retirement is not to be used as an alternative to or substitute for disciplinary action or positive managing capability.
- 6.3.3 In cases involving staff with disabilities, efficiency retirement should not be used until every effort has been made to make reasonable adjustments to the job, in accordance with the Equality Act 2010.

7.0 Early Retirement (Voluntary Request)

7.1 Process

- Initiated by employee by means of written request to their Head of Service stating grounds and case for consideration
- The Head of Service will submit a report for approval to CMT.

7.2 Criteria

- Improvement in organisational efficiency e.g. needs of job, new skills required, need to work in different ways, improved productivity.
- Strain on the pension fund in relation to the benefit obtained by the Council
- Need to replace the post
- Length of service with East Herts Council.
- The employee has at least three months total membership or has brought a transfer value into the LGPS

7.3 Early retirement may impact on accrued pension benefits. Advice on the impact to the employee’s pension should be obtained by the employee contacting Payroll before any application is made.

8.0 Retirement on Ill Health Grounds

8.1 Process

- Initiated by employee by means of written request to their Head of Service stating grounds and case for consideration; or Initiated by management as an outcome of a Capability Hearing under the Absence Management Policy.
- The Head of Service will submit a report for approval to CMT.

8.2 Criteria:

- To qualify for ill-health retirement, the employee must have at least 3 months membership of the scheme or have transferred other pension rights into the LGPS and the Council's Medical Adviser must provide a certificate confirming that the employee is 'permanently incapable of discharging efficiently the duties of his/her employment because of ill-health or infirmity of mind or body and the employee has a reduced likelihood of obtaining gainful employment (whether in local government or elsewhere) before Normal Pension Age. There are 3 tiers for the Council's Medical Adviser to consider.
- Absence Management Policy has been followed.
- Eligible membership under LGPS provisions (See Pension Guide Book)

8.2 Benefits:

Benefits from 1 April 2008 depend on the tier the Council's Medical Adviser judges the employee falls into.

- Tier 1; if the employee is judged to have no reasonable prospect of being capable of obtaining gainful employment before Normal Pension Age, pension benefits are payable based on accrued membership plus 100% of prospective membership between leaving and Normal Pension Age.
- Tier 2; if the employee is judged to be incapable of obtaining gainful employment within 3 years of leaving but is likely to be capable of obtaining gainful employment before Normal Pension Age, pension benefits are payable based on accrued membership plus 25% of prospective membership between leaving and Normal Pension Age.
- Tier 3; if the employee is judged to be capable of obtaining gainful employment within 3 years of leaving, short-term reviewable pension benefits are payable based on accrued membership only.

Note: gainful employment means paid employment for not less than 30 hours in each week for a period of not less than 12 months.

9.0 **Flexible Retirement**

9.1 What is flexible retirement?

Rather than continuing in your job to Normal Pension Age you can, on or after age 55 and with your employer’s consent, reduce your hours permanently and/or reduce your grade (which will require new job description and person specification) and draw your accrued Local Government pension scheme benefits whilst continuing in employment and building up further benefits in the Scheme, enabling you to ease into retirement.

9.2 The benefits to the Council of flexible retirement are:

- Retention of key skills and knowledge
- Ability to encourage knowledge and skills transfer
- Added flexibility around where the employee works and the filling of their post

The benefits to the employee of flexible retirement are:

- To support their gradual move into retirement – key lifestyle change
- Opportunity to continue contributing to the organisation while pursuing other interests
- Ability to work while accessing Local Government pension (for those in the scheme)

9.3 Can I have a gradual move into retirement?

9.3.1 You can request flexible retirement whether or not you are in the Local Government pension scheme and this will be considered by your manager, using the criteria detailed below.

9.3.2 You can continue paying into the LGPS to build up further benefits in the Scheme. See section 3.8.2 for further details.

9.4 Process

- Initiated by employee by means of an application form (see Appendix B) submitted to their Head of Service.

- The Head of Service will submit a report for approval to CMT.
- Should the employee wish to change the terms of the approved flexible retirement a new application form would need to be submitted to their Head of Service, who would submit a report for approval to CMT.

9.5 Criteria

The Council policy is that this pension scheme provision may be used in cases where:

- The permanent reduction in hours is greater than 25% of their current working hours and/or
- There is a reduction in grade
- An application for flexible retirement is received within 3 months of a change in reduction of 25% of hours and/or grade
- The employee has at least three months total membership or has brought a transfer value into the LGPS
- The employee wishes to reduce their hours permanently and/or change their grade to support their gradual move into retirement.

10.0 Authorisation Procedure for Early/ Flexible Retirement

- 10.1 On re-structuring, potential redundancy situation, or formal request by employee, the Head of Service (or individual) must seek advice/ guidance from their HR Officer who will calculate preliminary estimates of employee costs/benefits.
- 10.2 The Head of Service (with advice from an HR Officer) will undertake preliminary consultation with the employee ensuring that discussions are clearly stated to be subject to available discretions, that costs and savings quoted are estimates only and that the final decision is subject to CMT approval. This consultation may be in the course of following processes under other Council policies, such as absence management and consultation on restructuring proposals.
- 10.3 The Head of Service will request details of costs/savings from HR/Payroll and investigate the impact of the request on the service.
- 10.4 The Head of Service (with advice from an HR Officer) will undertake formal consultation with employee. Employee will be notified that recommendation is still subject to CMT approval at this stage.
- 10.5 The Head of Service will submit a report for approval to CMT.

10.6 Following CMT approval, the decision will be confirmed to the employee in a meeting and followed up in writing within 3 working days.

11.0 Re-employment and Abatement

11.1 Re-Employment of Individuals Granted Early Retirement

11.1.1 The re-employment of ex-East Herts employees who have been granted retirement with severance payments should not be undertaken without prior consultation with HR.

11.2 Abatement of Local Government Pension

11.2.1 In the case of Flexible Retirement, where a pensioner continues to work for East Herts Council there will be no abatement of pension. Should that employee obtain further employment with another Local Government Pension Scheme employer abatement of pension will apply if the pensioner's pay for the new post plus the LGPS pension exceeds the pay in the post from which the pensioner flexibly retired.

11.2.2 Where an employee takes standard or early retirement from one Local Government Employer and then takes up further employment with another Local Government Employer abatement of pension will apply if the pensioner's pay for the new post plus the LGPS pension exceeds the pay in the post from which the pensioner retired.

11.2.3 Abatement rules are set out in the LGPS Regulations 1995 and, if applicable, the LG (Discretionary Payments) Regulations 1996.

12.0 Policy review and amendment

12.1 This Policy shall be reviewed after three years or sooner in line with legislation and best practice to reflect the best possible level of support and management.

Notice of intention to retire

Employee's Name:			
Payroll Number:			
Directorate:			
Service:			
I am writing to notify the Council that I wish to retire and terminate my contract of employment.			
Proposed retirement date:			
Notice period as set out in my contract of employment:			
Once you have given notice of your intention to retire you may request a change in your working pattern in order to prepare for retirement. Would you like to discuss phased retirement?			Yes/No
The Council offers free training for employees on planning for retirement. Do you wish to receive further information on this?			Yes/No
Signed:		Date:	

Please return this form to your Head of Service.

Appendix B

Flexible Retirement Application Form

Note to the employee

It will help the Council to consider your request if you provide as much information as you can about your desired working pattern. It is important that you complete all the application form. When completing sections 3 and 4, think about what effect your change in working pattern will have both on the work that you do, your service and on your colleagues. Once you have completed the form, you should immediately forward it to your Head of Service (you might want to keep a copy for your own records). If the request is granted, this will be a **permanent change** to your terms and conditions and you will not be able to make any further requests for any new flexible retirement arrangements.

It is important to consider your application very carefully if you have more than one job, internal or external of the Council, as this may have serious tax implications. Please contact LPFA for more information regarding this.

Note to Head of Service:

Please can you confirm receipt of this application form. Please consult with Human Resources before advising the employee of any decision that has been reached.

1. Personal Details:

Name:

Payroll number:

Manager:

National Insurance No:

I would like to apply to amend my working arrangements under the flexible retirement procedure.

Criteria to request flexible retirement -

- I am over the age of 55 years old
- This is my only application to request flexible retirement.
- My request complies with the flexible retirement procedure, in that I am proposing my hours are reduced by at least 25% or my grade is reduced.
- I have considered my own personal tax implications in accepting flexible retirement

2a. Describe your current working pattern (days/hours/times worked):

2b. Describe the working pattern you would like to work under flexible retirement (days/hours/times worked):

2c. I would like my flexible retirement to commence from:

Date:

3. Impact of the new working pattern

I think this change in my working pattern will affect the Service and my colleagues as follows:

4. Accommodating the new working pattern

I think the effect on the Service and colleagues can be resolved as follows:

Signed

Dated.....

Please return your application for to your Head of Service for their consideration.

EAST HERTS COUNCIL

LOCAL GOVERNMENT PENSION SCHEME

PAYMENT OF DISCRETIONARY COMPENSATION TO EMPLOYEES

POLICY ON EXERCISE OF EMPLOYER DISCRETIONS

East Herts Council as an employer is under a legal duty to prepare and publish a written statement of its policy relating to certain discretionary powers under the Regulations which apply to the Local Government Pension Scheme (“the LGPS”).

East Herts Council is also under a duty to formulate, publish and keep under review the policy that East Herts Council applies in exercising discretionary powers under Regulations relating to the payment of compensation to employees whose employment is terminated as a result of redundancy or certain other reasons.

This document is intended to comply with these duties and, in the following table, sets out the discretionary powers concerned, identifies the relevant Regulation that gives East Herts Council the discretion and describes how the discretion will be exercised.

The policy set out in this document will not be departed from except as provided for in the policy or following a variation to the policy approved by East Herts Council.

This statement is not a definitive statement of the law and is subject to the provisions of the relevant Regulations.

The Regulations that apply to the LGPS are:

- The Local Government Pension Scheme Regulations 2013 (these are referred to as the “Pensions Regulations”);
- The Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014 (referred to as the “Transitional Regulations”);
- The Local Government Pension Scheme (Benefits, Membership and Contributions) Regulations 2007 applied to the LGPS before 1 April 2014, are preserved in part on a transitional basis by the Transitional Regulations and are referred to as the “Benefits Regulations”

The Regulations which apply to the payment of compensation to employees whose employment is terminated as a result of redundancy or other specified reasons are:

- The Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006 (referred to as the “Compensation Regulations”).

In the table below:

- (1) "The Scheme" or "the Pension Scheme" means the LGPS and "the Fund" or "the Pension Fund" means the fund maintained under the LGPS;
- (2) "Member" means a member of the LGPS;
- (3) "Active member" means a member in employment and paying, or treated as paying, contributions to the LGPS, or absent from employment for a reason mentioned in Regulation 11 of the Pensions Regulations.
- (4) References to a member with transitional protection are those who can count membership accrued before 1 October 2006 and who have statutory transitional protection under the Transitional Regulations, wholly or partly, from changes that would otherwise be made to their pension entitlements and/or from actuarial reductions that would otherwise be applied to their pension benefits as a result of the coming into force of the Pensions Regulations on 1 April 2014.
- (5) References to a member meeting "the 85 year rule" are those a members whose age in whole years when added to the member's total membership in whole years is 85 years or more.

The power to exercise and to take any decision in relation to the each of the discretions is delegated to East Herts Council.

This statement was approved by HR Committee and is intended to comply with East Herts Council duties under Regulation 60 of the Pensions Regulations and Regulation 7 of the Compensation Regulations.

No.	Area	Regulation	Discretion	Policy Summary	Explanation
1	Funding of Additional Pension Contributions	Regulations 16(2)(e) and 16(4)(d) Pensions Regulations,	To fund, in whole or in part, additional pension contributions on behalf of an employee where these are to be paid by regular contributions (Regulation 16(2)(e)) or by lump sum (Regulation 16(4)(d)) Note: The amount of additional pension that may be credited to an active member's pension accounts may not exceed the additional pension limit of £6,500 (uplifted annually)	. East Herts Council will not normally fund additional contributions either wholly or in part, but may do so in wholly exceptional circumstances.	This means the employing authority can pay additional pension contributions on behalf of current employees.
2	Flexible Retirement	Regulation 30(6), Pensions Regulations	To agree to an employee aged 55 or over reducing their hours of work or grade so that they may receive all or some of their retirement pension while still employed	East Herts Council does allow flexible retirement in accordance with its retirement policy.	This means the employing authority can agree to an employee aged 55 or over drawing their pension whilst they continue to work for the employing authority on reduced pay / hours or grade.
3	Waiving of Actuarial Reduction to Pensions	Regulation 30(8), Pensions Regulations	To agree to waive, in whole or in part, any reduction that would otherwise be made on the early payment of a pension to a former employee aged 55 or to the pension paid to an employee allowed to take flexible retirement under Regulation 30(6) of the Pensions Regulations	East Herts Council does not waive a reduction.	This means the employing authority can agree to waive any reductions to an individual's pension where they have left employment / been granted flexible retirement from age 55.
4	Award of Additional Pension	Regulation 31,	To award additional pension to:	East Herts does not	This means the employing

		Pensions Regulations	<p>(1) an active member; or (2) a former active member who was dismissed by reason of redundancy or business efficiency.</p> <p>Note: Any additional pension awarded (including any additional pension purchased by the employer under Regulation 16 of the Pensions Regulations (see above) may not exceed the additional pension limit of £6,500 (uplifted annually).</p> <p>Additionally, in the case of a former active member falling within (2) above, the resolution to award additional pension must be made within 6 months from the date on which the employment ended.</p>	exercise the powers to award additional pension.	authority has the power to award additional pension to either an active (current) member of the LGPS, or, within six months of leaving if the member left on the grounds of redundancy or business efficiency.
5	Aggregation of Benefits: Concurrent Employments	Regulation 22 (7)(b), Pensions Regulations	To allow an active member with concurrent employments, who ceases an employment with an entitlement to a deferred pension, a longer period than 12 months in which to elect not to have the benefits in their deferred member's pension account aggregated with the benefits in their active member's pension account.	East Herts Council does not allow a longer period than 12 months	This means the employing authority can allow members with more than 1 pension under different employment contracts (at the same time) longer than the usual 12 month deadline to choose not to combine the pensions.
6	Aggregation of Benefits: Deferred Member becoming	Regulation 22 (8)(b),	To allow a deferred member who again becomes an active member a longer	East Herts Council does not allow a longer period	The benefits are usually aggregated (joined-up), unless the member elects

	Active Member	Pensions Regulations	period than 12 months in which to elect not to have the benefits in their deferred member's pension account aggregated with the benefits in their active member's pension account.	than 12 months	to keep them separate. The employing authority can agree to a former member having longer than the usual 12 month deadline to choose not to combine the pensions.
7	Early Payment of Pension in cases of Members with Transitional Protection	Schedule 2, Transitional Regulations	To agree to that the transitional protections set out in Paragraph 1(3) of Schedule 2 to the Transitional Regulations should apply. This affects members with transitional protection who choose to retire between the ages of 55 and 60. The transitional protections offer complete or partial protection from actuarial reductions depending on the circumstances.	It is not East Herts Council policy to agree to the application of Paragraph 1 (3) of Schedule 2 to the Transitional Regulations, which means that the Council will not agree to the payment of unreduced retirement benefits to a member with transitional protection who meets the 85 year rule until they are aged 60.	This means that the employing authority can agree to '85 year rule' transitional protection being 'switched on'.
8	Waiver of Actuarial Reductions to Pension in cases of Members with Transitional Protection	Schedule 2, Transitional Regulations	To waive on compassionate grounds, any Reduction that would otherwise be made to a member's pension payable on early retirement.	East Herts Council does not waive a reduction.	This means the employing authority can agree to waive any reduction to pension benefits that would otherwise apply on compassionate grounds.

	Inward Transfer of Pension Rights	Regulation 100, Pensions Regulations	<p>To allow a person more than 12 months beginning with the date when they first became an active member in an employment to request the acceptance of a transfer value for certain accrued pension rights.</p> <p>Note: Regulation 100 of the Pensions Regulations requires that a request must be made within 12 months beginning with the date on which the member became an active member in an employment or such longer period as the employer and the Administering Authority may allow. The discretion is, therefore, exercisable concurrently by the Administering Authority.</p>	East Herts Council does not allow a longer period than 12 months	This means the employing authority can agree to allow an individual who has been a member for more than 12 months to request to transfer previous pension funds into the LGPS fund.
10	Forfeiture Certificates	Regulation 91, Pensions Regulations	<p>To apply to the Secretary of State for the issue of a forfeiture certificate.</p> <p>Note: A forfeiture certificate may be applied for where a member has been convicted of an offence committed in connection with the member's employment and because of which the member has left that employment. A forfeiture certificate is a certificate, issued by the Secretary of State that the offence was gravely injurious to the State or is liable to lead to serious loss of confidence in the public</p>	East Herts Council will consider each case on its merits, both in relation to applying for a forfeiture certificate and in relation to the giving of a direction, where a forfeiture certificate has been issued, that pension benefits be forfeited.	This means the employing authority can apply for a certificate from the secretary of state which permits withholding pension benefits from an individual who has been convicted of certain offences.

			<p>service.</p> <p>To direct, where a forfeiture certificate has been issued, that any rights under the Pensions Regulations be forfeited.</p> <p>Note: If the former employer has suffered loss as a direct consequence of the offence, a direction may only be given if the loss cannot be recovered except after an unreasonable time or at disproportionate cost.</p> <p>A direction may only be given if the application for a forfeiture certificate was made within a period of three months beginning with the date of the conviction</p>		
11	Recovery of Money Owed as a result of Misconduct	Regulation 93, Pensions Regulations	<p>To recover money owing to the former employer where a person has left employment as a result of grave misconduct or of a criminal, negligent or fraudulent act or omission in relation to that employment and owes money to the employer arising out of such that misconduct, act or omission.</p> <p>Note: If there is a dispute about the amount owed the County Council may only recover the money from the employee's pension benefits under a court order or the award of an arbitrator.</p>	East Herts Council will normally seek to recover any money owing as a result of a former employee's grave misconduct, or criminal, negligent or fraudulent acts or omissions from the employee's pension benefits.	This means the employing authority can look to recover money from an ex-employee where they have left employment as a result of grave misconduct or of a criminal, negligent or fraudulent act or omission in relation to that employment.

164	Redundancy Payments	Regulation 5, Compensation Regulations	To base redundancy pay on actual pay where actual pay exceeds the statutory maximum under the Employment Rights Act 1996.	East Herts Council will base redundancy payments on an employee's actual pay in all cases.	This means the employing authority can increase the statutory limit on a week's pay for redundancy payments (£464.00) to the actual rate, if it is higher.
13	Compensation for loss of Employment	Regulation 6, Compensation Regulations	<p>To pay compensation to a person whose employment ceases</p> <ul style="list-style-type: none"> - by reason of redundancy; - in the interests of the efficient exercise of the employing authority's functions; <p>or</p> <p>in the case of a joint appointment, because the other holder of the appointment leaves</p> <p>Note: Compensation may not be paid under this Regulation if:</p> <ul style="list-style-type: none"> - a person's period of membership of the Pension Scheme has been increased under Regulation 12 of the Benefits Regulations (see above); or - a person has been awarded an additional pension under Regulation 13 of the Benefits Regulations (see above). 	East Herts Council uses the Government's Department for Business Innovation and Skills (BIS) statutory redundancy pay calculation but increases the statutory multipliers of 0.5, 1 and 1.5 weeks by 2.6.	This means the employing authority can make an award of up to 104 week's pay (less any redundancy payment payable).

			<p>In all cases the amount of compensation paid under this Regulation may not exceed 104 weeks' pay.</p> <p>In all cases the decision to pay compensation under this Regulation must be made no later than 6 months after the date of termination of the person's employment.</p>		
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