

*Meeting:* **Employment Committee**

*Date/Time:* **Thursday, 30 June 2016 at 10.00 am**

*Location:* **Goscote Committee Room, County Hall, Glenfield**

*Contact:* **Miss. A. Rog (0116 305 0455)**

*Email:* **anna.rog@leics.gov.uk**

### **Membership**

Mr. G. A. Boulter CC    Mr. J. B. Rhodes CC  
Mrs. J. Fox CC    Mr. R. J. Shepherd CC  
Mr. D. Jennings CC    Mr. E. D. Snartt CC  
Mrs. H. E. Loydall CC

### **AGENDA**

<u>Item</u>	<u>Report by</u>
1. Appointment of Chairman.  To note that Mr J. B. Rhodes CC was nominated Chairman elect to the Employment Committee at the County Council meeting held on 18 May 2016.	
2. Election of Deputy Chairman.	
3. Minutes of the meeting held on 4 February 2016.	(Pages 3 - 6)
4. Question Time.	
5. Questions asked by members under Standing Order 7(3) and 7(5).	
6. To advise of any other items which the Chairman has decided to take as urgent elsewhere on the agenda.	
7. Declarations of Interest.	
8. Sickness Absence.	Director of Corporate Resources (Pages 7 - 12)



- |     |   |                                       |                 |
|-----|---|---------------------------------------|-----------------|
| 9.  | Lone Working and Personal Safety Campaign.                              | Director of<br>Corporate<br>Resources | (Pages 13 - 50) |
| 10. | Staff Survey, Values and Behaviours and the<br>Employment Deal.         | Director of<br>Corporate<br>Resources | (Pages 51 - 56) |
| 11. | Pay Award 2016-18.  | Director of<br>Corporate<br>Resources | (Pages 57 - 60) |
| 12. | Public Sector Exit Payments.  | Director of<br>Corporate<br>Resources | (Pages 61 - 64) |
| 13. | Local Government Pension Scheme.  | Director of<br>Corporate<br>Resources | (Pages 65 - 72) |
| 14. | Organisational Change Policy and Procedure.<br>Summary of Action Plans. | Chief Executive                       | (Pages 73 - 78) |
| 15. | Any other items which the Chairman has<br>decided to take as urgent.    |                                       |                 |
| 16. | Date of Next Meeting.   |                                       |                 |

The next meeting of the Committee is scheduled to be held on 20 October 2016.



Minutes of a meeting of the Employment Committee held at County Hall, Glenfield on Thursday, 4 February 2016.

PRESENT

Mr. J. B. Rhodes CC (in the Chair)

Mr. G. A. Boulter CC  
Mrs. J. Fox CC  
Mr. D. Jennings CC

Mr. W. Liquorish JP CC  
Mrs. H. E. Loydall CC  
Mr. R. J. Shepherd CC

33. Minutes.

The minutes of the meeting held on 3 December 2016 were taken as read, confirmed and signed.

34. Question Time.

The Chief Executive reported that no questions had been received under Standing Order 35.

35. Questions asked by members under Standing Order 7(3) and 7(5).

The Chief Executive reported that no questions had been received under Standing Order 7(3) and 7(5).

36. Urgent Items.

There were no urgent items for consideration.

37. Declarations of interest.

The Chairman invited members who wished to do so to declare any interest in respect of items on the agenda for the meeting.

No declarations were made.

38. Sickness Absence.

The Committee considered a report of the Director of Corporate Resources which provided an update on the Council's overall position on sickness absence at the end of November 2015. A copy of the report marked 'Agenda Item 6' is filed with these minutes.

The Committee was advised that as part of the Attendance Management Action Plan, new workshops were being rolled out to managers. Their aim was to develop practical skills and build confidence in managers to carry out action plans effectively. Members were also advised that the Attendance Improvement Audit which assessed the effectiveness of a range of improvement plans aiming to reduce short and long term sickness absence, was reaching its conclusion. The feedback from the Audit would be presented to the Committee at a future meeting.

In response to questions raised, members were advised as follows:-

- (i) The increase in instances of absence in the “stress/ depression, mental health” category could be as a result of the removal of the “Other” category from the Oracle system. This increase would be monitored and reported on at the next meeting of the Committee. Members were of the view that such an increase could be positive in the sense that the stigma surrounding mental health illness was being challenged;
- (ii) The Committee noted the near half way split between long and short term absence and was advised that long term absence was decreasing. Both types of absence were being closely monitored. Members were advised that for the first six months of long term absence staff received full pay, half pay after six months, and only Statutory Sick Pay for absence over 12 months. The Committee was also advised that the breakdown of long term absence into absence up to six months and beyond six months would be presented to a future meeting;
- (iii) In order to prevent the spread of viral infections, reported as the highest cause of absence, the use of antibacterial toilet door handles and hand sanitisers in the kitchen areas was being considered by the Absence Management Operational Group. In addition, as part of the County Hall Master Plan and the move to 8:10 desk ratios, work stations including keyboards and telephones would be sanitised daily;
- (iv) The benefit and cost of introducing flu vaccines for all employees was being reviewed by the Health and Safety Manager and an update would be provided at a future meeting of the Committee;
- (v) In response to concerns raised in respect of the waiting list of staff to receive counselling for mental health/stress and depression issues, members were advised that the service was currently provided by the equivalent to two full time counsellors operating within County Hall, and that additional external provision was available when the service was reaching capacity.

RESOLVED:

- (a) That the progress made towards achieving the corporate target of 7.5 days per FTE be noted;
- (b) That the breakdown between long and short term sickness absence be noted;
- (c) That a breakdown of long term sickness absence of up to six months and exceeding six months be provided in the future reports to the Committee.

39. Mental Health First Aid.

The Committee considered a report of the Director of the Corporate Resources which provided an update on the impact of the Mental Health First Aid (MHFA) training programme and mental health first aiders in the workplace. A copy of the report marked ‘Agenda Item 7’ is filed with these minutes.

In response to questions raised, members were advised as follows:-

- (i) The aim of the MHFA training was not to provide mental health professionals within the workplace, but to provide preventative measures and peer support mechanisms amongst staff to recognise the early signs and symptoms of mental illness, stress and depression. The Committee was pleased to note that training had been made available to all staff and the number of employees trained in

MHFA had risen to 8% of the total workforce to date. Members were however of the view that more could be done to spread awareness of the training amongst the work force;

- (ii) Members welcomed the positive feedback received from employees trained in MHFA, however they were concerned that the impact of the training had only been assessed on a limited basis thus far. This was expected to increase as more employees completed the training;
- (iii) Members noted that the latest sickness absence figure as a result of “stress/depression, mental health” was actually 10.82% of total absence at the end of November 2015 and not 6.54% as stated in paragraph 2 of the report (page 11).

RESOLVED:

- (a) That the continued implementation and further development of Mental Health First Aid be supported;
- (b) That further evaluation feedback based upon the continued delivery and evaluation of Mental Health First Aid be received at the future meetings of the Committee.

40. Pay Policy Statement 2016-17.

The Committee received a report of the Director of Corporate Resources outlining the Council’s Pay Policy Statement 2016/17 which, subject to the Committee’s endorsement, would be submitted to the County Council for approval at its meeting on 16 March 2016. A copy of the report, marked ‘Agenda Item 8’ is filed with these minutes.

Arising from discussion, members were advised as follows:-

- (i) Annual increments were in place to reflect the progress of staff within their roles. The annual increment was not automatic and progression could be stopped if performance was unsatisfactory, though this was rare. In response to a suggestion made, the Committee was advised that officers would investigate the feasibility and implications of linking performance and attendance to the payment of increments based on the experience of other councils who had implemented such measures and the findings would be presented at a future meeting;
- (ii) Members noted that the Soulbury Pay Agreement, which covered teachers and educational psychologists, differed from the National Joint Council conditions of service which applied to the majority of the Council’s employees. The Committee was advised that officers would investigate whether it was possible to link annual pay increments to satisfactory performance for “Soulbury employees” and would report back to a future meeting;
- (iii) Members were informed that they were likely to receive an in-year update on the Pay Policy as a result of the proposed changes which the Government had recently consulted on, including a proposed £95,000 cap on severance payments and potential pay back of severance applying to those paid over £80,000 should they be re-employed in the public sector again within 12 months;
- (iv) National negotiations over the pay award continued. The current proposal was for a 1% increase in each of the next two years. It was likely that this would be bottom loaded in order to reduce the impact of the living wage;

- (v) The Council paid professional fees for those staff that required a qualification to carry out their roles. A proportion of the cost was claimed back from the employee if they then left the Authority within a prescribed timescale;
- (vi) Members were advised that the cost of professional fees and market premia to the Council was very small. It was however noted that the Authority did struggle to compete on pay in certain job sectors.

RESOLVED:

That the County Council be recommended to approve the Pay Policy Statement for 2016/17.

41. Employees as Foster Carers and Shared Lives Carers.

The Committee considered a report of the Director of Corporate Resources which sought the Committee's approval for the changes to the Leave Arrangements Policy. A copy of the report, marked 'Agenda Item 9' is filed with these minutes.

Members were pleased to note that the Policy would offer the same fostering friendly additional leave as available to employees of the Department for Education. The Committee also welcomed the flexibility within the Policy, which provided up to 148 hours of leave to be used as required to fulfil the additional duties of those employees who were or wished to become Local Authority Foster Carers or "Shared Lives" Carers.

RESOLVED:

That the new wording for the Leave Arrangements Policy in respect of those employees who are or wish to become Local Authority Foster Carers or "Shared Lives" Carers, as set out in Appendix A to the report, be approved.

42. Organisational Change Policy and Procedure - Summary of Action Plans.

The Committee considered a report of the Chief Executive which presented a summary of current Action Plans which contained provision for compulsory redundancies and details of progress in their implementation. A copy of the report marked 'Agenda Item 6' is filed with these minutes.

RESOLVED:

That the report be noted.

43. Date of Next Meeting.

It was noted that the next meeting of the Committee would be held on 23 June 2016 at 10.00am.

10.00 - 10.59 am  
04 February 2016

CHAIRMAN

**EMPLOYMENT COMMITTEE**

**30 JUNE 2016**

**SICKNESS ABSENCE**

**REPORT OF THE DIRECTOR OF CORPORATE RESOURCES**

**Purpose of Report**

1. The purpose of this report is to provide the Employment Committee with an update on the Council's overall position on sickness absence at the end of 2015/16.

**Policy Framework and Previous Decisions**

2. On 4 February 2016 the Committee considered the end of November 2015 sickness absence position.

**Absence Data**

<b>Department</b>	<b>2014/15</b>	<b>15/16 Q1</b>	<b>15/16 Q2</b>	<b>15/16 Q3</b>	<b>15/16 Q4</b>
<b>Days per FTE</b>	<b>End of Year</b>				<b>End of Year</b>
Chief Executive's	5.55	6.01	6.11	6.05	6.99
Environment and Transport	8.23	7.66	7.63	8.14	8.80
Children and Families Services	10.37	9.31	9.42	9.83	10.06
Corporate Resources	7.86	7.86	7.13	7.19	6.95
Adults and Communities	12.24	11.98	11.90	11.33	11.31
Public Health	9.14	7.48	5.28	4.50	7.84
<b>Total</b>	<b>9.83</b>	<b>9.39</b>	<b>9.32</b>	<b>9.16</b>	<b>9.32</b>
ESPO	12.07	12.25	12.03	11.69	10.88
EMSS	6.65	6.76	7.52	7.03	6.69

3. The corporate sickness absence level has reduced by 0.51 days per FTE by the end of 2015/16. Further work is required to achieve the corporate target of 7.5 days per FTE.

4. At the end of 2015/16 Chief Executive's, Corporate Resources and EMSS have sickness absence levels under the corporate target of 7.5 days per FTE.
5. Children and Family Services, Adults and Communities, Public Health and ESPO have all made an improvement in their attendance levels during 2015/16.

### **Reasons for Absence**

<b>Reasons</b>	<b>Q3 2015/16</b>	<b>Q4 2015/16</b>
<b>% days lost year to date</b>		
Back and neck problems	5.30	5.50
Other musculo-skeletal	6.43	6.66
Stress/depression, mental health	7.57	7.36
Viral infection	27.59	30.14
Neurological	5.82	6.08
Genito-Urinary/Gynaecological	3.36	3.43
Pregnancy Related	2.11	1.93
Stomach, liver, kidney, digestion	18.36	18.44
Heart, blood pressure, circulation	0.94	0.93
Chest, respiratory	4.63	4.68
Eye, ear, nose and mouth/dental	4.64	4.78
Other	5.96	2.85
Nothing stated	7.29	7.22

6. The table above details the percentage of days lost at the end of Quarter 3 and 4 2015/16. The two highest reasons for absence continue to be viral infections and stomach problems.
7. The percentage of days lost recorded as 'other' continues to reduce. This is following a decision to remove the option to record new absences under this reason category from September 2015. Absence data is presented in a 'year to date' format and therefore requires at least a year for the impact of such a change to be fully realised.



**Short and Long Term Absence Split**

	Q3 2015/16		Q4 2015/16	
Department	Long term	Short term	Long term	Short term
Chief Executive's	48.76%	51.24%	33.72%	66.28%
Environment and Transport	58.80%	41.20%	55.68%	44.32%
Children and Families Services	59.90%	40.10%	53.23%	46.77%
Corporate Resources	58.89%	41.11%	50.37%	49.63%
Adults and Communities	61.49%	38.51%	56.61%	43.39%
Public Health	61.06%	38.94%	74.27%	25.73%

**Note: Long term is categorised as over 4 week continuous absence.**

8. The balance of days lost due to absence across the departments is predominately a 50/50 split. This does fluctuate and it can be shown that the departments with a greater percentage of long term absence are those with higher levels of absence.
9. As work continues to improve levels of the attendance across the Council, it is anticipated that the percentage of days lost due to long term absence will reduce and will be in the minority.

**Specific Information Requested**

10. The Committee requested details of the number of absent individuals whose absence has lasted longer than 6 months, as at the end of April 2016.

Department	Number of employees who have been absent for more than 6 months
Chief Executive's	0
Environment and Transport	2
Children and Families Services	0
Corporate Resources	4
Adults and Communities	9
Public Health	0
ESPO	1

EMSS	0
<b>Total</b>	<b>16</b>

11. The Committee also requested details of how the level of reported viral infections the Council compared with other county councils. At the end of Quarter 4 2015/16 the Council reported that 30.14% of days lost was due to viral infections. Data from 8 other county councils indicated lower rates, these were; 29.00%, 22.90%, 13.90%, 13.27%, 11.20%, 11.00%, 9.93% and 2.60%.
12. The Committee requested details of the Council's flu vaccination programme. Staff who provide personal care are offered the opportunity to obtain a flu vaccination and reclaim the cost via their expenses. Flu vaccinations for staff are voluntary. During 2015/16 Autumn/Winter, we are aware of 117 individuals who received a flu vaccination funded by the Council. If the Council was to offer flu vaccinations at an average cost of £10 each; and in the unlikely event that all employees (6,552 staff) took up this offer, the cost would approximately £65,000. We will consider options which could include setting a sum of money aside for piloting the offer of vaccinations in a department which has a high level of viral infections.

### **Attendance Management Action Plan**

13. Since the last meeting of the Committee, the following actions have taken place:-
- (i). An audit of occupational health reports has been completed which identified that their use as an attendance management tool would benefit from review;
  - (ii). Focus groups were held for managers to provide their feedback on the attendance management process. This identified opportunities for HR policy development and the necessity for managers to understand their role;
  - (iii). An amendment to the Smarter Working guidance was agreed to support managers to enable individuals to avoid short term absence by working in a different way or at a different time where it is appropriate to the delivery of their role.

### **Future actions & activities**

14. Having undertaken a range of activities to improve level of attendance there is still a requirement to make significant reductions in the level of sickness absence across the Council. The following actions and activities are being considered by officers:-
- (i). Review of the Attendance Management Policy to separate the approach to long and short term sickness;
  - (ii). Exploration of an absence reporting triage service;
  - (iii). Further developments of infection control activities;

- (iv). Review of occupational health referrals as a tool within the attendance management process;
- (v). A 'myth busting' communications plan;
- (vi). Exploration of the links between pay, attendance and performance;
- (vii). Strengthening the requirement to maintain good attendance to pass probation;
- (viii). Reporting the cost of sickness in addition to days lost due to sickness.

### **Recommendations**

The Committee is asked to note the contents of this report.

### **Background Papers**

None.

### **Officer to Contact**

Andrea Denham  
HR Business Partner  
(0116) 3055261  
[andrea.denham@leics.gov.uk](mailto:andrea.denham@leics.gov.uk)

### **Equality and Human Rights Implications**

15. The attendance management policy has been subject to an Equality and Human Rights Impact Assessment, and this was published in 2014. There are no equalities and human rights issues arising directly from this report.

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**EMPLOYMENT COMMITTEE**  
**30 JUNE 2016**

**LONE WORKING AND PERSONAL SAFETY CAMPAIGN**  
**REPORT OF THE DIRECTOR OF CORPORATE RESOURCES**

**Purpose of Report**

1. The purpose of this report is to inform the Employment Committee of the work that the Health, Safety and Wellbeing Service are undertaking to improve the safety of staff whilst working alone.

**Background**

2. Many staff in a range of occupations regularly work alone. This can present a range of hazards and have implications to personal safety. Lone working has therefore been identified in the Health, Safety and Wellbeing Strategy as a 'risk priority for action'. Health and Safety Action Plans have been produced for all Departments for 2016/17, with an aim to launch a campaign to educate and protect lone workers. The following specific objectives have been set:-

- (i). Produce '10 Steps to Safety' leaflet and poster for distribution throughout the Council. The poster is attached as Appendix 1;
- (ii). Ensure that key messages are consistently given out in the personal safety training;
- (iii). Update the Lone Working Policy, which will be submitted for approval to a future meeting of the Committee;
- (iv). Raise awareness using a range of internal communications channels;
- (v). Work with each Department to review their emergency code word (used by members of staff who are in an emergency situation, and who require assistance);
- (vi). Monitor records of physical assault on the Council's accident and incident reporting system and undertake investigations where required.

**Implementation**

4. The following campaign plan is to be implemented between April 2016 and March 2017:-
  - (i). The review of Lone Working Policy - currently underway, and will be brought to the next meeting of the Committee for approval;

- (ii). The '10 Steps to Safety' booklets have been reviewed and printed. The Health, Safety and Wellbeing Service will distribute them to services throughout the year;
- (iii). The '10 Steps to Safety' poster has been reviewed and will feature on all corporate noticeboards. Schools will also be emailed a copy of the poster;
- (iv). Awareness of Lone Working and Personal Safety will be raised in a variety of ways online. Work is currently in progress to create a new webpage for the Lone Working and Personal Safety Campaign. This will feature the poster, leaflet, policy, risk assessments and useful documents for managers with an article in Staff Matters for those who do not have access to information online;
- (v). The June edition of Manager's Digest will feature an article on the '10 Steps to Safety'. An article will be published each quarter on different lone working topics;
- (vi). A Lone Working and Personal Safety Event will take place on 5th October - National Personal Safety Day. The event is planned to take place at the County Hall, and at three other locations across the County. Members of the Health, Safety and Wellbeing Service will attend all the venues with a stall providing information and advice. A representative from the Suzy Lamplugh Trust will attend the event at County Hall to provide two briefing sessions, aimed at managers and covering a variety of personal safety issues and suitable control measures. It is planned that this event will be available for staff at the other venues via video link. The Learning and Development Service will have representatives at all locations to provide a one hour briefing to staff (non-management) on personal safety based on the Suzy Lamplugh presentation.

### **Recommendations**

5. The Committee is asked to note the report and to support the rollout of the campaign.

### **Officers to Contact**

Colin Jones,  
Health, Safety and Wellbeing Manager  
Tel: 0116 305 7552  
Email: [colin.jones@leics.gov.uk](mailto:colin.jones@leics.gov.uk)

### **List of Appendices**

Appendix A – Operational Policy and Guidance. Lone Working.

Appendix B – "10 Steps to Safety" Poster.

### **Equalities and Human Rights Implications**

An Equality and Human Rights Assessment will be carried out on the revised policy.

Leicestershire County Council

# Operational Policy & Guidance Lone Working

February

# 2014

WG&SC/AH/HSW/5.2.2014/Issue3

Review Due Date:	05.02.2016
Written By:	Andy Hollingshead
Authorised By:	Colin Jones
Date of Authorisation:	05.02.2014

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## 1.0 Introduction

- 1.1 This Guidance has been designed as a source of advice for the managers of lone workers within the County Council. The guidance aims to be as comprehensive as is practicable and is supported and underpinned by your Service's local arrangements, which will provide the detailed guidance for lone workers within that Section based on appropriate and up-to-date risk assessments. Whilst it is the legal responsibility of senior managers to provide safe systems of work, individuals have a responsibility to follow safe working practices, both within the office environment and outside of it.
- 1.2 Your Line Manager and Health, Safety and Wellbeing Advisor are available to provide further advice and guidance in relation to the Lone Working Guidance if required.

## 2.0 Responsibilities

- 2.1 In LCC responsibilities for lone working is delegated through a hierarchy to appropriate managers as described below:
  - The Chief Executive has the ultimate responsibility within the County Council for ensuring compliance with the Health and Safety at Work etc Act 1974 and with the enforcement of the County Council's Health and Safety Policy.
  - Senior Managers are responsible for ensuring risk assessments are undertaken, that local policies, procedures and safe systems of work are introduced, training is made available, health and safety training records are maintained, and ensuring statutory compliance with health and safety legislation.
  - Line managers will establish and supervise safe systems of work to ensure compliance with safety rules, provide and ensure that employees have received appropriate training, and ensure that other policies and procedures are followed.
  - All employees are required to comply with the Council's Risk Management policies and attend training as required. They should use all safety equipment at the appropriate time and in the appropriate manner. They should also report unsafe activities or faulty equipment to their line manager and report all adverse incidents or near misses immediately.
- 2.2 It is important to note that lone workers should not be at more significant risk than other employees. This may require extra control measures. Precautions should take account of normal work and foreseeable emergencies.
- 2.3 Managers must ensure that they have put into place the following systems to ensure that lone working is identified and risk assessed:

- Who will be responsible for identifying all possible lone working situations (name the person)?
- Which competent person(s) will carry out the risk assessment (name the person)?
- Who will review the risk assessment (name the person)?
- Who will be responsible for monitoring the lone working system to ensure it is working (name the person)?
- Who will co-ordinate any lone working “buddy system” or other system introduced (name the person)?
- Who will deliver any training identified (identify the trainers)?
- Who will implement any emergency procedures when necessary (name the person(s) involved)?

2.4 See [Appendix 1](#) for a Manager’s Checklist – Lone Working

### 3.0 Definition of a Lone Worker

3.1 Lone workers are defined by the Health and Safety Executive (HSE) as “those employees who work by themselves without close or direct supervision”.

3.2 All persons falling into this category must have a risk assessment carried out for the time they are working alone, whether a short period or the majority of the time. For example;

- Staff attending late meetings (e.g. Community Forums)
- Working in a building in isolation
- Solicitors attending Court
- Working from home (see [home working policy](#))
- Staffing of “Leicestershire Rural Partnership” business advice trailer
- Attending Courses
- Driving to meetings, etc.
- Social Workers undertaking home visits
- Home Care Assistants

### 4.0 Risk Assessments

4.1 The key to maximising Health and Safety wherever lone working is being considered is the performance of a suitable and sufficient risk assessment.

4.2 The risk assessment should address three main features:

- a) Whether the work can be done safely by lone workers.

- b) What arrangements are needed to ensure, so far as is reasonably practicable, that lone workers are not exposed to significantly more risks than employees who work together.
  - c) Decide the level of additional controls including training that will be required for persons working alone including the training for line managers.
- 4.3 Risk Assessments will be carried out and must be read, approved and signed by the appropriated line managers.
- 4.4 The risk assessment should be about identifying who is at risk and from what? Deciding if the current control measures for lone working are adequate or if more needs to be done to ensure that the person is not at a greater risk than any other employee. If they are, the employer has a responsibility to eliminate or reduce that risk as far as reasonably practicable.
- 4.5 It is important to note that, where a training need is identified in a risk assessment, then that suitable training that reflects the needs identified must be delivered and is **mandatory**.

## 5.0 Risk Control methods

There are a variety of means to alleviate or control risk. These include means of monitoring the lone worker and providing suitable training.

### 5.1 Training and information

Suitable and additional training will be required for lone workers, which can bring about:

- A reduction in the number of possible incidents;
- A reduction in the seriousness of incidents;
- An improved response to incidents;
- An improvement in staff morale.

Training is particularly important where there is limited supervision to control, guide and help in situations of uncertainty. Training may be vital to avoid panic reactions in unusual situations.

Training programmes for lone workers may cover the following areas:

- The lone working guidance, including individual responsibilities.
- The risk assessment in relation to lone working.
- The prevention and control of risks to lone workers.
- The lone working procedures.
- Personal attack alarms or other equipment used to raise the alarm.

- Understanding violence and aggression.
- Any lone working requirements of a job should be explained during the induction procedure
- Assessing and preventing danger and taking precautions.
- The post incident action: reporting, investigation, counselling and other follow-up.

Contact [Nominations@leics.gov.uk](mailto:Nominations@leics.gov.uk) to book staff on lone working training.

All training delivered to an employee, including lone working training, should be recorded on their training record and should take place during the induction period for new starters who it is known will be expected to undertake lone working or, for other members of staff, before any lone working tasks are undertaken (see [Appendix 5](#) for a Personal Safety Induction Checklist). Also appended is [Appendix 6](#) which details how members of staff, who feel the need or may be particularly vulnerable, may remove their address details from publicly accessible websites and directories.

## 5.2 Monitoring methods (traceability)

- Supervisors periodically visiting and observing lone workers.
- A “buddy system”.
- Regular contact between the lone worker and supervisor (if depending on mobile telephones ensures that the areas have good reception).
- If longer periods of no supervision are involved, a regular ‘reporting back’ procedure should be put into place.
- Automatic warning devices which operate if specific signals are not received from the lone worker.
- Checks that a lone worker has returned to their base or home on completion of a task.
- GPS mobile phone tracker alert systems, LCC uses this system  
<http://www.sitexorbis.com/product-services/monitor/lone-worker-protection/>

One example of good practice for lone working is to use a booking in/out system or wipe-off board at base, which is updated and checked regularly as plans change, to enable staff to be easily traced. Please see [Appendix 7](#) for an Out of Hours Contact Information Form and [Appendix 8](#) for an example Booking In/Out Sheet.

If such a method is adopted, the following factors should be considered:

- This must be completed by all lone workers leaving the department for whatever reason. Any alterations during the course of the time away, must be notified to the office.
- Wherever the estimated time of return is exceeded or if the staff member goes directly home after a visit/meeting, the Line Manager or a colleague should be contacted to up-date the system.

- Emergency personal contact details should be shared with all necessary persons on a 'confidential' basis. Staff partner/family should be provided with their manager's contact details.
- Report failures of the procedures/system.

An alternative process for less regular lone working practices would be the use of a 'Buddy System', where staff pair up and contact each other at pre-arranged times. A process of escalation should a call be missed needs to be established which will involve contacting a senior manager at the appropriate stage (see [Appendix 9](#) on the operation of a buddy system).

Whatever system is adopted, procedures should be rehearsed and tested and all members of staff should be aware of the procedures and their responsibilities under them. This includes escalation procedures should a member of staff be un-contactable or missing/late back. Where a risk assessment establishes a need, managers can obtain GPS navigation phones for staff to use, which can enable immediate traceability (mobile will need to be set up + additional monthly cost).

## 6.0 Post-incident Reporting

- 6.1 The most sophisticated policies and guidance cannot guarantee that nothing will go wrong.
- 6.2 All incidents, accidents, near misses, etc must be reported here [Accident Reporting System](#). This includes recording the details of any vehicle related incident that occurs whilst travelling to a business meeting.
- 6.3 Since it is impossible to guarantee safety, post incident support will be available to anyone who does become a victim of violence. Such services ensure the organisation is able to respond in terms of providing support, practical help and access to sources of specialist help if required.
- 6.4 Research has shown that most people who have been subjected to violence feel the need to talk through their experience as soon as possible after the event, preferably within 24 hours. Debriefing will be offered within your section. Note; if the violence is serious or significant, the Police may want to interview the employee first. Further sources of guidance and support, including counselling can be requested from the Voluntary Support Group in Human Resources and the LCC Wellbeing Service. ([http://intranet/employee\\_welfare\\_service.htm](http://intranet/employee_welfare_service.htm)).

## 7.0 Travelling advice for lone workers and their managers

- 7.1 Lone workers should provide their line managers with contact details, a brief explanation of the work they will be doing and the schedule they will be following when away from base or working out of hours.
- 7.2 Duty managers with responsibility for lone workers should ensure that their mobile phones are switched on and that they are available. They should also have available a list of home contact and emergency numbers in the event that concern is raised regarding a significantly delayed contact.
- 7.3 Duty/Line managers have responsibility for following up incidents where lone workers appear to be delayed.
- 7.4 Lone workers should familiarise themselves with any routes they will be taking. Having planned your route in advance, you should ensure that estimated times of arrival/departure/return/etc are recorded at the office base.
- 7.5 If visiting another agency or institution, requests should be made for travel routes and safe parking locations.

### 7.6 Driving

- Ensure the vehicle being used has sufficient fuel and is well maintained.
- Try to avoid working under undue stress or deadlines that may affect concentration with driving or the ability to deal calmly with problems that arise.
- Drive defensively to avoid the risk of causing road rage.
- If someone is showing signs of aggression, go to a location where people are about, e.g. a petrol station.
- If it is necessary to conceal anything while at a visit or location, do so **before setting off**, so that it is not apparent that things are being hidden when parking up.
- Leave nothing visible.
- The door to the car should be locked.
- Park as near as possible to the address/venue being visited and in a position so as to be able to drive off straight away: if possible, reverse into the position.
- Go in daylight, where possible. If it is necessary to visit at night, park under streetlights.
- Have your car keys ready as you approach your vehicle and, if possible, carry a pocket torch.

Further information on can be found in the LCC Vehicle Driver Policy: [http://intranet/driver\\_and\\_vehicle\\_safety\\_policy](http://intranet/driver_and_vehicle_safety_policy) This contains a Vehicle and Driver Generic Risk Assessment.

### 7.7 By Foot

- Don't 'switch off the world' by wearing a personal stereo.

- 'Dress' appropriately to where you are going.
- Keep to busy, well-lit roads.
- Avoid short-cuts, unless they are known to be as safe as the longer route.
- Walk facing the oncoming traffic to avoid kerb crawlers. If it is necessary to walk in the same direction as the traffic and a driver stops, simply turn and walk the other way.
- Stay aware of the nearest place of safety, such as shops.
- Avoid, as far as possible, waste ground, isolated pathways and subways, especially at night.
- Walking in a confident and positive manner has been shown to reduce the likelihood of becoming a victim.

Please remember that the guidance in this document is intended for all staff in the council and if you find that lone working will form part of your job, you should discuss with your manager whether the necessary risk assessment has been carried out and the resultant control methods that you will be using.

Above all, you have responsibility for your own safety and should not proceed with any visit, journey or action that you do not feel comfortable and safe with. In the first instance you should discuss your concerns with your line manager but you may also wish to discuss matters with your departments' Health, Safety and Wellbeing Advisor.

## Appendix 1

### Manager's Checklist – Lone Working

The list below identifies key actions to be considered when involved with controlling the Health and Safety Risks arising from lone working.

1. Identify any lone working activities that your employees will undertake.
2. Ensure Risk Assessments of these lone working activities are carried out and regularly reviewed.
3. Identify from the Risk Assessments any activities that cannot safely be carried out by a lone worker.
4. Identify any additional control measures that may be required and implement them.
5. Develop a written lone working procedure and communicate it to employees, ensuring they are all satisfied that the safety measures and procedures are sufficient to give them the confidence to carry out their jobs.
6. Ensure all new employees who will be lone working receive personal safety induction information to identify additional support or training needs (see [Appendix 5](#)).
7. Ensure all staff understands that their own safety must be a priority and that they should leave a situation in which they do not feel safe.
8. Staff and managers of each service area should undertake to develop their own Safe Working Practices for their work environment and working arrangements.
9. Testing, monitoring and review of procedures/incidents.



## Appendix 2

### Risk Assessment Checklist

The following checklist can be used in order to assist when completing the risk assessment proforma.

#### Activity

1. Describe the lone working tasks/activities that the employees will undertake.

#### Hazards

2. Consider the foreseeable hazards involved, e.g. violence, physical & verbal, psychological, falls from height, manual handling, etc.
3. Are all employees who will carry out lone working tasks/activities medically fit to work alone? (If NO, discuss with the employee concerned and record separately (for confidential reasons) any adjustments that may be required.)

#### Control Measures

4. What specific or additional information or training do lone workers receive (provision of written lone working procedure as a minimum),
5. What tasks are prohibited during lone working (e.g. working at height, home visits to persons with known history of violence, etc).
6. What arrangements are in place for supervising lone workers (e.g. occasional call back to manager, etc).
7. What arrangements are in place for emergencies (e.g. lone worker fails to return from visit or lone worker attacked).

#### Verification

8. Ensure that the risk assessment is signed and dated by the manager, to verify that they are aware of any issues contained therein.
9. Agree a date for the review of the risk assessment.
10. Ensure that the completed risk assessment and information is shared with the employees who will be lone working.

See here for more details on the risk assessment procedure [Risk Assessment Procedure](#)

**Example risk assessment form**

<b>Activities covered by this assessment:</b>			
<b>Site Address/Location:</b>		<b>Department/Service/Team:</b>	
<b>Note:</b> A person specific assessment must be carried out for young persons, disabled staff and new and expectant mothers conducting this activity.			

Hazard (Something with a potential to cause harm)	Who Might be Harmed & How?	Existing Controls	Initial Risk Rating (SxL)			Further Controls Required (Consider Control Hierarchy)	Final Risk Rating (SxL)			Action Required		
			Severity	Likelihood	Risk rating		Severity	Likelihood	Risk rating	Who: (Initial)	Date By: (--/--/--)	Done? ✓/✗

<b>During this activity, what could go wrong resulting in an emergency situation?</b>	
<b>How could this emergency situation be prevented / controlled?</b>	
<b>Who should respond to a potential emergency situation and how? Have staff been trained to respond to this emergency situation?</b>	
<b>Could any non-routine changes affect the safety arrangements in place for this activity? (Weather, People, etc.) What can be done?</b>	

<b>Risk Assessor(s) Name(s):</b>		<b>Risk Assessor(s) Signature(s):</b>				
<b>Authorised By:</b>		<b>Authoriser Signature:</b>				
<b>Date Conducted:</b>		<b>Date Review Required:</b>		<b>Date of Last Review:</b>		<b>Initial</b>
		<b>Date of Review:</b>		<b>Date of Next Review:</b>		
		<b>Date of Review:</b>		<b>Date of Next Review:</b>		
		<b>Date of Review:</b>		<b>Date of Next Review:</b>		

<b>Potential Severity of Harm</b>	<b>High</b> Death, paralysis, long term serious ill health.	<b>Medium</b>	<b>High</b>	<b>High</b>
	<b>Medium</b> An injury requiring further medical assistance or is a RIDDOR incident.	<b>Low</b>	<b>Medium</b>	<b>High</b>
	<b>Low</b> Minor injuries not resulting in any first aid or absence from work.	<b>Low</b>	<b>Low</b>	<b>Medium</b>
		<b>Low</b> The event is unlikely to happen.	<b>Medium</b> It is fairly likely it will happen.	<b>High</b> It is likely to happen.
<b>Likelihood of Harm Occurring</b>				

<b>Risk Rating Definitions</b>	
<b>Low</b>	This is an acceptable level of risk. No further controls are required as the risk rating cannot be reduced any further. However, it is advised that continual monitoring occurs in order to ensure that no changes / deviation of control measures occur.
<b>Medium</b>	It is advised that further controls are implemented to reduce the risk rating to as low a level as possible. If the risk cannot be reduced to lower than a medium, then on site monitoring should occur to ensure that all stipulated controls are being adhered to.
<b>High</b>	This is an unacceptable risk rating. Urgent interim controls should be implemented to reduce the risk so far as is reasonably practicable. If the risk rating cannot be reduced to lower than a High, then a documented safe system of work should be implemented to control the activity. It may be necessary to seek further professional advice. Serious consideration should be given to the validity of carrying out the activity at all. Monitoring of the activity should occur.

<b>Activities covered by this assessment:</b>	Lone Working		
<b>Site Address/Location:</b>		<b>Department/Service/Team:</b>	
<b>Note:</b> A person specific assessment must be carried out for young persons, disabled staff and new and expectant mothers conducting this activity.			

Hazard (Something with a potential to cause harm)	Who Might be Harmed & How?	Existing Controls	Initial Risk Rating (SxL)			Further Controls Required (Consider Control Hierarchy)	Final Risk Rating (SxL)			Action Required		
			Severity	Likelihood	Risk rating		Severity	Likelihood	Risk rating	Who: (Initial)	Date By: (--/--/--)	Done? ✓/✗
<b>Isolated Location</b>	Staff may be injured as a result an accident, injury, threat to personal safety, delayed assistance in emergency	Lone working restricted to times when problems are less likely, with at least two persons present in the building at vulnerable times (e.g. between 7 and 8:30 am & 5 and 7: 30 pm). Arrangements in place for regular contact between the lone worker and another member of staff. Signing in and work location system that is monitored;	H	L	M							
<b>Staff Medical Conditions, Disabilities, pregnancy.</b>	Staff may be injured as a result an accident, injury, threat to personal safety, delayed assistance in emergency	Pregnant women and those with a medical condition/disability which could lead to an emergency are considered as high risk and specific risk assessments are undertaken if required to work alone. Health clearance for working alone is requested via the OHU provider for employees, who have a medical condition for which any foreseeable emergencies that may impose an additional physical or mental burden cannot be managed safely. An end of shift reporting procedure is set up for employees who live alone. Adequate first-aid facilities available at all times (the minimum requirement is to have an Appointed Person).	H	L	M							

<p><b>Manual Handling, Plant or equipment, Work at Height , COSHH</b></p>	<p>Staff may be injured as a result an accident, injury or delayed assistance in emergency</p>	<p>Lone workers trained in safe handling and use of all plant and equipment used during lone working and given adequate information about risks involved with a task and the precautions to be taken e.g. PPE required. Lone workers are given suitable training to allow them to deal with any foreseeable emergencies. Any task identified as hazardous is not to be undertaken out-side of normal operating hours</p>	<p>M</p>	<p>L</p>	<p>L</p>								
<p><b>Premises &amp; Grounds Security</b></p>	<p>Staff may be injured as a result an accident, injury, threat to personal safety, delayed assistance in emergency</p>	<p>The premises are locked (but exit from inside is possible in case of emergency) when school is closed and staff work alone. Use systems for raising the alarm in the event of an unexplained absence or emergency Lone worker completes whereabouts boards, desk diaries etc which show their expected locations if working away from normal base Lone worker keeps in regular contact with supervisor or colleagues as instructed Lone worker uses 'end of work' reporting systems to indicate that they have returned safely, e.g. signing out books, Increased security with the use of CCTV, secure access &amp; egress, Increased lighting at final exit doors Cars/motorbike or cycles positioned as close to final exit as possible A security company act as the first key holders and attend 'out of hours' call outs. (e.g. LCC Key holder Service) so site supervisor need only attend if required and accompanied by a security officer.</p>	<p>M</p>	<p>L</p>	<p>L</p>								
<p><b>Personal Attack / Verbal Aggression</b></p>	<p>Staff may be injured as a result an accident, injury, threat to personal safety, delayed assistance in emergency</p>	<p>Private meetings with members of the public / people they support do not take place unless someone else is on site and knows about the meeting. Lone workers carry mobile phone to call for help. Before entering the grounds, the lone</p>	<p>H</p>	<p>L</p>	<p>M</p>								

		<p>worker notifies someone of the situation, and their intention to investigate.          If a break-in has occurred, the lone worker will not attempt to enter the premises until the police arrive.          If confronted by intruder(s) before the police arrive, the lone worker will not attempt to tackle or restrain them.</p> <p>Restraining of intruders should be left to the police who are trained in dealing with such situations.</p> <p>If the lone worker feels a situation is getting out of control, they will try not to freeze, keep moving, listening and talking to the person. They can often use the <b>'talk and walk'</b> technique to either escape or walk the person to a populated work area, where it is safer.</p> <p>The lone worker will <b>summon help</b> from a colleague or supervisor if necessary.</p> <p>Staff are issued with personal alarms for use on site and when going home in the dark</p> <p>HSE guidance on dealing with violence is followed when dealing with colleagues, people they support, visitors, intruders etc.</p>										
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<b>During this activity, what could go wrong resulting in an emergency situation?</b>	
<b>How could this emergency situation be prevented / controlled?</b>	
<b>Who should respond to a potential emergency situation and how? Have staff been trained to respond to this emergency situation?</b>	
<b>Could any non-routine changes affect the safety arrangements in place for this activity? (Weather, People, etc.) What can be done?</b>	

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<b>Risk Assessor(s) Name(s):</b>		<b>Risk Assessor(s) Signature(s):</b>				
<b>Authorised By:</b>		<b>Authoriser Signature:</b>				
<b>Date Conducted:</b>		<b>Date Review Required:</b>		<b>Date of Last Review:</b>		<b>Initial</b>
		<b>Date of Review:</b>		<b>Date of Next Review:</b>		
		<b>Date of Review:</b>		<b>Date of Next Review:</b>		
		<b>Date of Review:</b>		<b>Date of Next Review:</b>		



<b>Potential Severity of Harm</b>	<b>High</b> Death, paralysis, long term serious ill health.	<b>Medium</b>	<b>High</b>	<b>High</b>
	<b>Medium</b> An injury requiring further medical assistance or is a RIDDOR incident.	<b>Low</b>	<b>Medium</b>	<b>High</b>
	<b>Low</b> Minor injuries not resulting in any first aid or absence from work.	<b>Low</b>	<b>Low</b>	<b>Medium</b>
		<b>Low</b> The event is unlikely to happen.	<b>Medium</b> It is fairly likely it will happen.	<b>High</b> It is likely to happen.
<b>Likelihood of Harm Occurring</b>				

<b>Risk Rating Definitions</b>	
<b>Low</b>	This is an acceptable level of risk. No further controls are required as the risk rating cannot be reduced any further. However, it is advised that continual monitoring occurs in order to ensure that no changes / deviation of control measures occur.
<b>Medium</b>	It is advised that further controls are implemented to reduce the risk rating to as low a level as possible. If the risk cannot be reduced to lower than a medium, then on site monitoring should occur to ensure that all stipulated controls are being adhered to.
<b>High</b>	This is an unacceptable risk rating. Urgent interim controls should be implemented to reduce the risk so far as is reasonably practicable. If the risk rating cannot be reduced to lower than a High, then a documented safe system of work should be implemented to control the activity. It may be necessary to seek further professional advice. Serious consideration should be given to the validity of carrying out the activity at all. Monitoring of the activity should occur.

## Appendix 3

### Guidance on carrying out Lone Worker Risk Assessments

#### Hazards

You need to identify the hazards specific to:

- The process of work: these may include work on electrical systems, with hazardous substances, in the community, interaction with persons with a known/unknown history of violent or aggressive behaviour,
- The equipment used during the work process: these may include manual handling, use of electrical equipment outside of the office, vehicles.
- The workplace: these may include remote areas, outside areas and the need to consider access requirements, transport and parking arrangements, etc.
- The individual: hazards specific to the individual which may create a particular risk for the lone worker. These may include medical conditions, disabilities (physical and mental), expectant mothers, gender, age, inexperience, etc. Access to adequate rest, hygiene, refreshments, welfare facilities, first aid, etc.

In addition, the following must also be considered:

- Work pattern: how the lone worker's work pattern relates to those of other workers, in both time and geography.
- Supervision: level of which is dependent on the level of risk the lone worker is exposed to and the competence/experience of the staff members to be able to identify and handle safety issues. New employees, or those undergoing training, may need to be accompanied for a period of time.
- The level of training and instruction that staff have received. Training needs should be identified in the risk assessment. **Where a training need has been identified in a risk assessment then that training is mandatory and must be delivered.**

The best lone working risk assessments are short, to the point and easily followed.

The risk assessment should follow these five stages:

#### Stage One: Identification of Hazards

Risk assessment stage one should relate to the following elements involved in the lone working task:

- The level of supervision in place or required, e.g. by regular visits to the lone worker, communication by telephone by the lone worker and/or the supervisor, additional person present (no longer lone working) etc.
- The welfare facilities required, e.g. first aid, toilet facilities, fire precautions, etc.

- The length of time and frequency that lone working is required, e.g. one hour, one day, every day, etc.
- The level of risk of violence to the lone worker, e.g. low, medium or high.
- Any additional training that will be required for the lone worker and their supervisor(s).

### Stage Two The risks of lone working

For lone working, as for other work situations, there are degrees of risk. Some of the things to consider when examining possible risks to staff are:

- Does anyone know where they are working?
- Do they work at, or from, home?
- If they change their plans, do they inform you?
- Do they check or vet people they are going to meet alone?
- Can they be contacted?
- Is there a check in system and do they use it?
- Do they think about where they park, is it safe?
- Do they use the quickest route or the safest?
- Do they carry money or valuables?
- Do they carry an alarm and do they know how to use it?
- Is it safe for them to use a particular item of equipment or machinery alone?
- Are they sufficiently competent to use the equipment alone?
- Has their induction procedure covered this area of working?
- Are they currently medically fit to work alone?
- Are they under the age of eighteen?
- Do they have access to a first aid box?
- Do they have facilities for refreshment or to rest?
- Do they use dangerous substances?
- Do they have safe access and egress to a work area?
- Are the methods of working safe for lone workers?
- Is there the potential for acts of violence to the lone worker?

### Stage Three The control measures for lone workers

Once the hazards and their corresponding risks have been identified and analysed, it is then necessary to decide how they can be:

- Eliminated (preferred)
- Avoided
- Reduced
- Made less costly.

### Stage Four Record your findings

The significant findings of the lone working risk assessment must be recorded including any training requirements. All risk assessments must be brought to the attention of all employees affected by the assessment.

A lone working proforma has been developed to record lone working risk assessments on (see [Appendix 2](#)).

#### Stage Five Regularly review risk assessments

Assessments must be reviewed regularly: where there are any significant changes in the activities being risk assessed, these changes must be brought to the attention of those they affect immediately.

## Appendix 4

### Matrix for potential violence or aggression

This matrix is meant to assist in carrying out risk assessments where threats have been made to workers. It is not intended to be a checklist but rather to indicate what information is required to produce a clear picture of the level of risk in a given situation and to determine the appropriate response.

Risk	Low	Medium	High
Frequency of threat	- first visit.	- previous incidents affecting others. - existing current threat involving worker.	- several previous incidents. - previous threats. - further threats.
Focus of threat	- property rather than the worker. - verbal abuse rather than threat.	- property of worker. - threat to person.	- property of worker. - threat to more than one person. - threat to family of worker. - threat to kill/assault worker.
Level of violence	- 1 or none convictions for violence. - history of aggression towards partners. - (depends on the nature of the conviction)	- convictions for violence. - anger management problems. - little respect or trust to authority. - history of aggression towards partners.	- convictions for violence. - use of weapons. - failure to comply with sanctions. - history of aggression towards partners/children.
OTHER FACTORS Environmental	- alcohol. - mental health problems. - misuse of substances.	- alcohol. - mental health problems. - misuse of substances.	- alcohol. - mental health problems. - misuse of substances.

Staff Involvement	- office based. - visits with co-worker.	- visits regularly with colleague. - visits regularly alone.	- visits regularly with colleague. - challenging content to work.
Time of Day	- visits alone.	- challenging content to work.	
<b>CONTROL MEASURES</b>			
Strategy	- discuss supervision with Line Manager. - agree strategies to ensure safety. - continue support through supervision.	- advise Service Manager. - notify and get advice from health and safety officer, and the Police. - risk management meeting to be chaired by Team Manager. - offer additional support to worker. - refer to specific risk assessments. - inform office manager.	- notify and get advice from health and safety officer, and the Police. - advise Assistant Director. - risk management meeting to be chaired by Service Manager. - offer considerable support to worker. - issue satellite phone? - inform office manager.

## Appendix 5

### Personal Safety Induction Checklist (for all new employees)

This is a very basic form, which can be developed further to suit individual sections' needs. An example of a more extensive form, covering safety issues raised by making home visits to clients, is:

[http://cis/pdf/social\\_services/library/dept/hr/chall\\_behav/lone/appd/app1.pdf](http://cis/pdf/social_services/library/dept/hr/chall_behav/lone/appd/app1.pdf).

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This induction aims to provide new employees with sufficient information, which will serve to minimise any risk to their own safety.

Potential risk at work can take on many forms, for example, physical violence, verbal abuse, discrimination, harassment and bullying. Health and Safety at Work is the dual responsibility of both the employer and the employee, and a number of strategies are already in place to minimise presenting risks. Some situations present predictable risk, which is easier to plan and prepare for; however, adhering to all strategies as a matter of routine can help minimise the unpredictable as well.

The following checklist serves to ensure that you both understand and are able to comply with the requirements of the Personal Safety Guidance.

<b>Name:</b>	<b>Position:</b>
<b>Place of Work:</b>	<b>Date:</b>
Have you provided all your personal details to your Team Manager? (Please Note: you must keep your Line Manager informed of any changes of contact details, including car registration and description of your car.)	

Have you completed a <b>Driver/Vehicle Record Document?</b> <a href="http://lccedrms4:8087/Intranet%20File%20Plan/Document%20Store/Document%20Repository/Documents/dvp_full_policy.pdf">http://lccedrms4:8087/Intranet%20File%20Plan/Document%20Store/Document%20Repository/Documents/dvp_full_policy.pdf</a>	
Have you taken the contact details of your Team/Line Manager(s)?	
Have you passed these numbers onto someone at home for emergency situations?	
Have you been given a copy of the Lone Worker Guidance?	
Signed:	Date:



## Appendix 6

### Personal Safety Information (external agencies and traceability)

There are at least 3 organisations that provide personal details such as home addresses and home telephone numbers freely to members of the public. Under the Data Protection legislation you have a right to remove your details if you wish:

[www.192.com](http://www.192.com)

It is possible to trace most people through this website, which also provides maps to your home, details of other adults living within the home and even your telephone number (unless your are ex-directory).

You can remove your details from its site by completing from C01, either by calling the Freephone number 0800 0192 192, or you can download the form from [http://lccedrms4:8087/Intranet%20File%20Plan/Document%20Store/Document%20Repository/Awaiting%20Publication/personal\\_safety\\_form.pdf](http://lccedrms4:8087/Intranet%20File%20Plan/Document%20Store/Document%20Repository/Awaiting%20Publication/personal_safety_form.pdf) (you have to then post it or fax it back to them). Upon receipt of this form, your details will be removed from the website and all future I-CD publications, including UK Info Disk and UK Info Disk Pro.

#### Register of Electors

There are two official Registers of Electors. One is held by your local Council, the other is sold to marketing companies. The one held by your local Council is no longer available in libraries for casual inspection but can be viewed (under supervision) at Council offices. It should be noted that, unless the enquirer has certain information regarding your locality/full name, it could still be difficult to trace you.

Within the electoral registration form, you will see a small box entitled '*opt out box*'. If you choose to tick this box, your details will not be sold to marketing companies and other organisations who are members of the Direct Marketing Association (DMA). This will only apply if you have moved address after 2002. Before this date your information will still be sold on.

#### Mailing Preference Services (MPS), Telephone Preference Service (TPS) and the Fax Preference Service (FPS)

The DMA is self-regulating and has developed services that allow individuals and households the opportunity to remove their name and address from marketing lists. You can register for these electronically at <http://www.mpsonline.org.uk/mpsr/> or by writing for an application form to: DMA House, 70 Margaret Street, London, W1W 8SS.

MPS does not remove your details if you have contacted a company previously. To remove your name from these companies you need to ask them to refrain from sending any more information. Some companies request you write in to have your name removed from their

database: this is not a legal requirement; it is used to discourage you from removing your details from their mailing lists.

### **BT Telephone Directory**

This directory holds details of all other telephone companies as well as BT customers (unless you are ex-directory). If you are a BT customer and wish to be ex-directory, ring 0845 6045884. You will be removed after 7-10 days but still remain in the printed telephone book until new copies are distributed. If you are not a BT customer, contact your telecommunications provider to advice on becoming ex-directory.

**Remember** – whenever you fill out a coupon and give your address details to a company, they are legally obliged to give you the option to say that you do not wish them to pass your details on to other companies. So, if you don't want your details passed on, remember to tick that box.

### **Protect your privacy: take control of Social Networking**

How to protect yourself: The ease of customising privacy settings varies by service. Twitter has just one option: On your Settings page, you can select your Tweet Privacy to protect your tweets (meaning that only people you approve can see them). At the other end of the spectrum are services like LinkedIn, which scatters its privacy settings across nine separate screens, and Facebook, whose supposedly simplified privacy settings span menus up to four layers deep.

No matter which service you use, it's incumbent on you to find out where these settings live (Google is your friend in that regard). Once you find them, the most important settings to look for are:

Who can read your profile;

Who can see your posts and activities;

What information is shared with external sites and businesses;

Which applications can access your data;

What information your friends can share about you;

Who can see your pictures and/or location;

Which sites integrate with your social network (for example, Facebook's like feature).

Most services allow you to control tiered privacy levels: one for friends (or immediate contacts); friends of friends (or second-degree contacts); third-parties; or everyone in the world.

## Appendix 7

## Example Out of Hours Contact Information Form

<b>STRICTLY CONFIDENTIAL</b>
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Please complete the table below and hand to your Line Manager.

Name:	Home Address:
Home telephone:	Mobile number: (Network):
Make/Model/Colour of car	Registration number:
Next of kin/emergency contact:	Home address:  Contact number(s):

In the event of an emergency, outside normal working hours, you should contact one of the following (please ensure that copies of the information are kept with your home contact and on your person):

.....cut here

Contact Name:	Telephone numbers
E.g. Line manager/buddy/team manager	Office: Mobile: Home:
	Office: Mobile: Home:
	Office: Mobile: Home:
Police	101 (or 999 for emergency calls)

**Appendix 8****Example booking in/out Sheet**

Date	Name	Departure Time	Expected Time of Return	Visit Details (name and town)	Category of risk	Mobile Phone No.	Special Instructions/ Actions	Actual Time of Return and Initials

See over for notes on completing.

- Departure Time: - Time you actually leave the office. If intending to make your site visit direct from home the following morning, please complete the evening before. If this is not possible, please contact a colleague to complete the booking in/out sheet on your behalf.
- Expected time of return: - Your best guess estimate. If you become aware that your visit is to take longer, telephone the office and ask a colleague to update the booking in/out sheet.
- Visit details: - Name of site/town and a note of the name or the person if applicable. If you are visiting more than one site, please complete the same details for each. If the destination changes, notify a colleague to revise the booking in/out sheet.
- Category of risk: - To be identified from the list of site risk definitions as being high, Medium or Low. Any site defined as High should not be visited until specific arrangements have been made with the appropriate department. A note of the arrangements must be included under Special Instructions. If the assessment of risk changes, inform colleagues, so that arrangements can be changed, if necessary. Remember to ensure you have suitable and sufficient personal protective equipment.
- Special Instructions/Actions: - Make a note of anything unusual about the visit. If anything is noted in this section, you must make a colleague/manager aware that it is their responsibility to carry out/undertake the welfare checks, etc.

## Appendix 9

### The Operation of a Buddy System

To operate the Buddy System, a Lone Worker must nominate a 'buddy'. This is a person who is their nominated contact for the period in which they will be working alone. A nominated buddy will:

- Be fully aware of the movements of the Lone Worker.
- Have the contact details of the Lone Workers line manager including out of hours.
- The line manager to have all necessary contact details for the Lone Worker, including personal contact details, such as next of kin, car make/model/reg number.
- The buddy to contact the Lone Worker, if they do not contact the buddy as agreed.
- Follow the agreed local escalation procedures for alerting their line manager or the police, if the Lone Worker cannot be contacted, or if they fail to contact their buddy within agreed and reasonable timescales.

Essential to the effective operation of the 'Buddy System' are also the following factors:

- The 'buddy' must be made aware that they have been nominated and what the procedures and requirements for this role are: and
- Contingency arrangements should be in place for someone else to take over the role of the 'buddy' in case the nominated person is called away to a meeting, for example.

#### Procedures

Arrange appropriate contact times, for example (taking an evening meeting at a location away from County Hall):

- Arrival: 30 minutes before meeting start time;
- End of meeting: 15 minutes after scheduled end time;
- Arrival at home: within 15 minutes of estimated arrival.

The lone worker will contact their buddy on arrival at the venue to let them know they have arrived safely. Check that the mobile phone has a signal! If not, use venue or public telephone and inform your buddy of the situation.

At the end of the meeting the lone worker will call or text their buddy when they get to their car and give an estimated time of arrival at home. (Lock car doors when doing this and keep them locked until you are safely underway).

The lone worker will call or text their buddy when they arrive safely home.

If you have any problems (e.g. car breaks down), remember to call or text your buddy.

**NB**, if you have to call the emergency services from a mobile, use the number 112 (rather than 999). This number is routed to the emergency services through the mobile network and allows them to use GPS technology to locate you even if you are not sure where you are.

### **Non-car drivers**

Use taxis rather than buses where possible (out of normal hours).

Arrange your taxis in advance and tell your buddy which taxi firm you are using.

If the taxi is not waiting outside, as well as calling the taxi firm, call your buddy and update them. Arrange a time to call them back, if the taxi still does not show. You will need to call your buddy once you are safely in the cab.

If possible wait inside the venue. If the venue is closed, find somewhere safe to wait (i.e. well lit, near other people).

### **Escalation procedures** (for the buddy):

- Allow quarter of an hour after expected time of contact and then call the lone worker. If no reply, wait for five minutes before taking the next step (in case they are driving and have to stop before they can use their mobile phone).
- If the lone worker has missed making either of the calls from the venue (arrival or departure), try the number of the venue to check the situation with them first.
- If you still have no news, contact the persons line manager.
- If the lone worker is using taxis, check with the taxi firm (if you can get hold of them quickly) as to whether they've made the pick-ups or drop-offs.
- (If you are not able to contact the designated manager) call the police and give them as much information as you can about the route and timings.
- Let your Service Manager know as soon as possible.

### **Lone worker, buddy and nominated manager must have a paper copy of the following:**

- Expected time of 1<sup>st</sup> telephone call (arrival)
- Expected time of 2<sup>nd</sup> telephone call (departure)
- Expected time of 3<sup>rd</sup> telephone call (arrival at home).

### **Lone worker**

- Buddy's mobile number
- Taxi firm's number (if using one)
- Nominated manager's mobile

**Buddy**

- Lone worker's mobile number
- Taxi firm's name and number (if being used)
- Venue's telephone number (out-of-hours)
- Nominated manager's mobile number
- Likely route that the lone worker will be taking
- Line Manager's contact number.

**Nominated Manager**

- Lone worker's mobile number
- Lone worker's home number
- Lone worker's ICE number
- Buddy's mobile number
- Buddy's home number
- Make, colour, registration number of lone worker's car (if relevant)
- Taxi firm's name and number (if relevant)
- Senior Manager's contact number.

Contact the Health, Safety & Wellbeing Service: [healthandsafety@leics.gov.uk](mailto:healthandsafety@leics.gov.uk)





# 10



## Steps to Safety

*Safety first for lone workers*

### step 1

#### Think safety

Build safety into your normal routine  
Think about your colleagues safety  
Have a clear team safety plan for dealing with any concerns and a lone working risk assessment

### step 2

#### Be prepared

Avoid walking into the unknown  
Plan your work particularly if there are likely to be tricky issues  
Develop positive working relationships

### step 3

#### Better safe than sorry

If you have any concerns discuss these with your manager  
Think about a joint visit or office appointment  
Plan how you will give bad news

### step 4

#### Arrange back up

Make sure someone knows where you are going and when you are coming back  
Arrange a backup buddie  
Make sure someone knows you are safe or what to do if you are in trouble

### step 5

#### Stay connected

If you have a mobile phone make sure it is on, charged and you have a signal  
If your phone is unreliable talk to your manager  
Make sure someone has contact details for your manager/supervisor

### step 6

#### Plan your exit

Get into the habit of planning a quick and safe exit  
Keep your bag and notebook with you at all times and don't take anything you can't leave behind  
Leave early if you need to

### step 7

#### Be aware

Be aware of people's behaviour  
Be aware of your own behaviour  
Listen and be respectful  
Think about what you are wearing

### step 8

#### Have a plan

Have a clear risk assessment worked out with your manager where there is a serious known risk  
Review the plan regularly  
Don't deal with dangerous situations on your own

### step 9

#### Stay anonymous

Make sure your home address, phone number or any personal details about you or your family can't be found  
Make sure you are not followed home

### step 10

#### Talk about it

If you have any worries about your safety talk to your manager/supervisor and expect to be supported  
If you feel frightened after an incident tell your manager/supervisor straight away



If still worried contact Leicestershire County Council, Health, Safety & Wellbeing Service 0116 305 5515

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**EMPLOYMENT COMMITTEE****30 JUNE 2016****STAFF SURVEY, VALUES AND BEHAVIOURS AND THE EMPLOYMENT  
DEAL****REPORT OF THE DIRECTOR OF CORPORATE RESOURCES****Purpose of Report**

1. The aim of this report is to provide the Committee with a summary of the outcomes and actions identified in the 2015 Staff Survey.

**Background**

2. The Council's organisational values were introduced approximately nine years ago after extensive engagement and consultation with staff. These values reflected the priorities and demands on the Council at that time, and as those have changed, the set of organisational values needed to be refreshed. A review of the Leadership Behaviours and Performance Development Review (PDR) process will form a part of this work plan. In addition, these reviews have links to the Employment Deal initiative, refocusing what we have to offer our employees and what we expect in return as the employer.

**Staff Survey**

3. The response rate to the Survey was 41%, displaying an increase from 27% in the previous survey in 2012. The feedback received will contribute to the identification of work streams which will shape the future of the Authority.
4. The highest scoring areas from the staff survey identified that:-
  - (i). 92% believed the Council is committed to equality and diversity - an increase of 1% since 2012;
  - (ii). 91% felt the Council is a good employer - an increase of 15% since 2012;
  - (iii). 90% was trusted to carry out their job effectively - A new question.
5. Three areas identified for further consideration and action, and with the lowest ratings across the Council were:-

- (i). 48% - felt that change is well managed in the Council - an increase of 11% since 2012;
  - (ii). 57% thought it was safe to speak up and challenge the way things were done - an increase of 5% since 2012;
  - (iii). 56% reported stress at work did not affect their job performance - a decrease of 1% since 2012.
6. The Staff Survey Action Plan identified three key areas for the Council to focus on, grouped under the headings of:
- Change and Challenge
  - Effective Working
  - Health and Wellbeing
7. A number of the following work streams are underway as a response to the feedback:-
- (i). Values and Behaviours;
  - (ii). Employment Deal;
  - (iii). The Leadership Behaviours;
  - (iv). Review of the PDR framework and process;
  - (v). Exploring the development of a “one-to-one” performance management framework and guidance for managers and staff to support the PDR;
  - (vi). Review and Refocus the Recruitment and Retention Strategy;
  - (vii). Workplace Health and Wellbeing Strategy Group.

### **Organisational Values and Behaviours**

8. The staff survey results indicated that 68% of staff felt the Council valued its staff, and 71% felt valued for the work they do. Consultation and engagement on the future organisational values and behaviours has commenced across the Council. To date over 1,300 members of staff have engaged in this process and the information obtained is being recorded and analysed. The early feedback indicates potential shared values emerging:-

- Respect
- Positive
- Trust/Honesty
- Continuous Improvement
- Teamwork /Collaboration
- Focus on people

### **PDR Process, Leadership Behaviours and a One-to-one Performance Management Framework**

9. In line with the feedback from the staff survey the PDR process and leadership behaviours will be reviewed, seeking to align the values, organisational culture, and behavioural expectations with how the Council manages performance.

10. The feedback received indicated that the current PDR has become process driven and focused on the completion of paperwork rather than the quality of the performance conversation. The recorded PDR return rate is low and the information provided does not generally represent the development required to meet the Council's strategic agenda.
11. Engagement sessions will be held for staff and managers to provide an opportunity to contribute to developing a more agile, performance focused and responsive process of staff appraisal and performance review. This in turn will contribute to the agenda for the key Leadership Behaviours.
12. The staff survey identified the need for more structured and frequent "one-to-ones" to discuss aspects associated with change, wellbeing, communication and constructive feedback (47% felt change is managed well, whilst 57% thought it was safe to speak up and challenge the way things were done). Any approach and guidance will need to account for existing professional supervision policies in both the Children and Families Service and the Adult Social Care Service.

### **Employment Deal**

13. The creation of a clear Employment Deal will allow for a constructive, concise and informative approach to our engagement with new and existing staff. It will be recognisable as a positive recruitment and retention tool and will have a direct link to our recruitment strategy. It will connect directly to our vision, values and behaviours.
14. The Employment Deal will further support the staff survey actions by addressing issues such as collaborative working, smarter working, staff engagement and effective leadership (77% of staff believed that showing initiative was encouraged, and 79% believed they had a say in deciding how they could work most effectively).
15. The conditions informing the Employment Deal are important in our changing economic environment and should intrinsically reinforce our values and behaviours. These are as follows:-
  - (i). The organisation and employee are both "adult";
  - (ii). The employee defines their own identity;
  - (iii). The organisation expects staff to deliver results;
  - (iv). Expect and prepare for change;
  - (v). Development is nurtured via coaching and mentoring;

### **Recruitment and Retention Strategy**

16. Recruitment and Retention of good quality staff remains critical to ensure the Council meets its key targets, but is flexible enough to respond to future demands.

17. The Staff Survey feedback showed positive engagement from staff in a number of areas linked to recruitment and retention:-
- (i). 92% - believed the Council was committed to equality and diversity;
  - (ii). 91% - felt the Council was a good employer;
  - (iii). 90% - was trusted to carry their job effectively.
18. What mattered at work for 81% of staff was job satisfaction. While 56% still measured the impact of pay and benefits, other intrinsic factors such as work life balance were rated higher at 74%.
19. The intended outcomes from a review of our Recruitment and Retention Strategy are:-
- (i). Structured recruitment packs explaining purpose of the job, organisation and the benefits of being a Leicestershire County Council's employee;
  - (ii). Innovative use of advertising campaigns to attract high calibre candidates;
  - (iii). Sustained high performance through periods of change by effective management of talent;
  - (iv). The Council continues to meet the changing need of our communities and demands of the organisation with a staffing structure where employees are committed to our aims.

### **Health and Wellbeing**

20. In the context of attendance management, the Committee has previously endorsed that the Council undertake some work to benchmark against the Public Health Workplace Wellbeing Charter standards. A number of task and finish groups have
21. been set up as follows in order to take forward the agenda around a healthy workforce:-
- Mental wellbeing
  - Healthy eating
  - Smoking, alcohol and substance misuse
  - Physical activity
22. The staff survey indicated that 72% of staff felt that their work life balance was about right while 56% of staff indicated that stress at work did not affect their job performance.

### **Recommendations**

23. The Committee is asked to note the report and to support the approach and proposals for particular pieces of work.

**Background Papers**

None.

**Officer to Contact:**

Diane Scott – HR Team Manager

Tel: 0116 30 57380

Email: [diane.scott@leics.gov.uk](mailto:diane.scott@leics.gov.uk)

**Equalities and Human Rights implications**

None.

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**EMPLOYMENT COMMITTEE**  
**30 JUNE 2016**

**PAY AWARD 2016 – 2018**

**REPORT OF THE DIRECTOR OF CORPORATE RESOURCES**

**Purpose of Report.**

1. The purpose of this report is to:-
  - (i). Note the action taken by the Chief Executive to implement a pay award for all employees on Grades 2 – 17 to cover the nationally negotiated, National Joint Council (NJC) pay award for the period 2016 – 2018;
  - (ii). Seek approval to implement the nationally negotiated, Joint Negotiating Committee (JNC) pay award for the same period for all employees on Grades 18 – 22, which includes Chief Officers and the Chief Executive.

**Background**

2. The County Council implemented a new grade structure in 2002 in conjunction with the Hay Job Evaluation Scheme. At that time it was agreed that the County Council, through the Employment Committee, would decide a level of pay award based on the national pay award for Local Government Employees.
3. The previous pay award for County Council employees on grades 2 – 17 covered a 2 year period up to 31 March 2016. A limited JNC pay award covering the same period was made to employees earning up to £99,999 (applicable to employees on grade 18 and the first pay point of grade 19). Employees above this point have not received any pay award since 2009.

**Key Points**

4. The NJC pay award for 2016 - 2018 comprises of two elements:-
  - (i). 1% increase on 1 April 2016 and a further 1% increase on 1 April 2017 on all pay points between 16 and 59 (grades 7 to 17 inclusive);
  - (ii). Higher percentage increases over the same 2 year period on all pay points below pay point 16 (grades 2 to 6 inclusive), ranging from 6.6% to 1.01% respectively in the first year, and 3.4% to 1.3% in the second year. The rationale for the level of increases across the lowest grades is to seek to address the requirements of the National Living Wage, set at £7.20 for 2016/17, but yet to be set for 2017/18.

5. For grades 18 – 21, the national negotiating body is the JNC for Chief Officers and for Grade 22, the JNC for Chief Executives.
6. Both bodies have agreed a 1% pay increase with effect from 1 April 2016 and a further 1% with effect from 1 April 2017.

### **Implementation**

7. With regard to the NJC pay award, as the Employment Committee was not due to meet for some time, the Chief Executive agreed, following consultation with the Chairman and Spokesmen of the Committee, to exercise his delegated powers in the case of matters of urgency to enable the award to be implemented. This allows employees to receive the pay increase in June 2016, backdated to April 2016. When action is taken under these powers details have to be reported to the next appropriate meeting of the body concerned.
8. With regard to the JNC pay awards, these will be implemented in July payroll, backdated to April 2016, subject to Employment Committee approval.

### **Recommendations**

9. The Committee is asked to:-
  - (i). Note the action taken in respect of the implementation of the NJC pay award for employees on grades 2 – 17;  
  
and
  - (ii). Approve the implementation of the JNC pay awards for employees on grades 18 – 22.

### **Officer to Contact:**

Gordon McFarlane, Assistant Director, Corporate Services  
Tel: 0116 305 6123  
Email: [Gordon.mcfarlane@leics.gov.uk](mailto:Gordon.mcfarlane@leics.gov.uk)

### **List of Appendices**

Appendix A - The Revised Pay Structure 2016 and 2017.

### **Equalities and Human Rights implications**

None.

## LCC Grade Structure

## Pay Award with effect from 1st April 2016 &amp; 2017

Grade	Grade	Pay Point	Salary wef 01/04/2016	Hourly Rate wef 01/04/2016	Salary wef 01/04/2017	Hourly Rate wef 01/04/2017
2	2	3	£14,514	£7.52	£15,014	£7.78
3	3	4	£14,514	£7.52	£15,014	£7.78
	3	5	£14,619	£7.58	£15,119	£7.83
4	4	6	£14,769	£7.65	£15,244	£7.90
	4	7	£14,994	£7.77	£15,394	£7.98
	4	8	£15,414	£7.99	£15,789	£8.18
5	5	9	£15,507	£8.04	£15,807	£8.19
	5	10	£15,726	£8.15	£16,026	£8.30
	5	11	£16,192	£8.39	£16,492	£8.55
6	6	12	£16,588	£8.60	£16,888	£8.75
	6	13	£16,964	£8.79	£17,264	£8.95
	6	14	£17,393	£9.01	£17,643	£9.14
	6	15	£17,824	£9.24	£18,049	£9.35
7	7	16	£18,316	£9.49	£18,499	£9.59
	7	17	£18,838	£9.76	£19,026	£9.86
	7	18	£19,374	£10.04	£19,568	£10.14
	7	19	£19,940	£10.33	£20,139	£10.43
8	8	20	£20,522	£10.63	£20,727	£10.74
	8	21	£21,122	£10.94	£21,333	£11.05
	8	22	£21,747	£11.27	£21,964	£11.38
	8	23	£22,434	£11.62	£22,658	£11.74
9	9	24	£23,167	£12.00	£23,399	£12.12
	9	25	£23,937	£12.40	£24,176	£12.52
	9	26	£24,752	£12.82	£25,000	£12.95
	9	27	£25,622	£13.27	£25,878	£13.41
10	10	28	£26,582	£13.77	£26,848	£13.91
	10	29	£27,609	£14.30	£27,885	£14.45
	10	30	£28,688	£14.86	£28,975	£15.01
	10	31	£29,858	£15.47	£30,157	£15.62
11	11	32	£30,542	£15.82	£30,847	£15.98
	11	33	£31,291	£16.21	£31,604	£16.37
	11	34	£32,100	£16.63	£32,421	£16.79
	11	35	£32,975	£17.08	£33,305	£17.25
12	12	36	£33,997	£17.61	£34,337	£17.79
	12	37	£35,084	£18.17	£35,435	£18.36
	12	38	£36,242	£18.77	£36,604	£18.96
	12	39	£37,499	£19.42	£37,874	£19.62

13	13	40	£38,732	£20.06	£39,119	£20.26
	13	41	£40,008	£20.72	£40,408	£20.93
	13	42	£41,350	£21.42	£41,764	£21.63
	13	43	£42,790	£22.16	£43,218	£22.39
14	14	44	£44,165	£22.88	£44,607	£23.11
	14	45	£45,632	£23.64	£46,088	£23.87
	14	46	£47,186	£24.44	£47,658	£24.69
	14	47	£48,865	£25.31	£49,354	£25.56
15	15	48	£50,450	£26.13	£50,955	£26.39
	15	49	£52,119	£27.00	£52,640	£27.27
	15	50	£53,864	£27.90	£54,403	£28.18
	15	51	£55,679	£28.84	£56,236	£29.13
16	16	52	£57,903		£58,482	
	16	53	£60,264		£60,867	
	16	54	£62,788		£63,416	
	16	55	£65,584		£66,240	
17	17	56	£68,493		£69,178	
	17	57	£71,544		£72,259	
	17	58	£74,744		£75,491	
	17	59	£78,098		£78,879	
18	18	60	£80,474		£81,279	
	18	61	£83,922		£84,762	
	18	62	£87,504		£88,380	
	18	63	£91,255		£92,168	
19	19	64	£100,654		£101,661	
	19	65	£103,227		£104,260	
	19	66	£108,090		£109,171	
	19	67	£113,326		£114,460	
20	20	68	£116,922		£118,092	
	20	69	£120,694		£121,901	
	20	70	£124,682		£125,929	
	20	71	£128,966		£130,256	
21	21	72	£126,779		£128,047	
	21	73	£132,611		£133,938	
	21	74	£138,711		£140,099	
	21	75	£145,092		£146,543	
22	22	76	£169,665		£171,362	
	22	77	£175,689		£177,446	
	22	78	£182,016		£183,837	
	22	79	£188,851		£190,740	

**EMPLOYMENT COMMITTEE****30 JUNE 2016****PUBLIC SECTOR EXIT PAYMENTS****REPORT OF THE DIRECTOR OF CORPORATE RESOURCES****Purpose of Report**

1. The purpose of this report is to advise the Committee of the Government's proposals to place a cap on exit payments for public sector employees and to introduce a repayment requirement where senior employees return to any part of the public sector within 12 months of receiving such a payment.

**Background**

2. In May 2015 the Government announced its intention to end six-figure exit payments for public sector workers. This was triggered by evidence that many senior employees had re-joined the public sector within a year of receiving a redundancy payment from the same or another public sector organisation.
3. On 31 July 2015 the Government published a consultation document setting out its proposals to end this practice. All public sector organisations were invited to respond. The consultation closed on 27 August 2015.
4. Despite a significant number of respondents not being in favour of a cap on exit payments being introduced, the Government has confirmed that, in the absence of a suitable alternative, it intends to progress with its proposals.
5. In summary, these proposals are as follows:-
  - (i). To limit the total value of exit payments made to employees in the public sector to £95,000;
  - (ii). To apply this cap to a range of exit payments including voluntary and compulsory redundancy payments, the costs associated with early access to unreduced public sector pensions, and 'special' severance payments such as those that form part of settlement agreements. Payments made in relation to ill health retirement, incapacity or death attributable to an individual's employment or those made in compliance with any court order are excluded;
  - (iii). Where an individual works for or holds an office with more than one public sector authority, any exit payments received from any of these authorities in a period of 28 days will be aggregated for the £95,000 maximum;
  - (iv). Where an employee with a salary of £80,000 or more receives an exit payment they will have to repay some or all of that payment if they return (as a direct employee, as the employee of another person or on a self-employed basis) to any part of the public sector within 12 months.

6. The Government recognises that there may be exceptional circumstances where payments in excess of the £95,000 cap may be required. Consequently, it is proposing the introduction of a waiver process which would enable Full Council to approve such payments. Further guidance is awaited from the Treasury on how this power is to be exercised.
7. In February 2016, the Government launched another consultation document proposing options for further reforms to public sector exit payments in order to make 'compensation terms fairer, more modern and more consistent'. This consultation closed on 3 May 2016. The options proposed include:-
  - (i). Setting the maximum tariff for calculating exit payments at three weeks' pay per year of service;
  - (ii). Capping the number of months used to calculate redundancy payments at 15 months;
  - (iii). Setting a maximum salary for the purpose of calculating an exit payment. For example, this could potentially align with the NHS limit of £80,000;
  - (iv). Tapering the amount of lump sum compensation an individual is entitled to receive as they get closer to pension retirement age;
  - (v). Reducing the cost of employer funded pension top up payments by capping the amount of these contributions so that they do not exceed the redundancy lump sum the individual would be entitled to (current practice within the NHS), by removing employer funded top up contributions altogether but allowing the individual to use their lump sum exit payment to increase their pension entitlement, or by increasing the minimum age at which an employee is able to receive an employer funded top up.

### **Implementation Timescales**

8. The regulations relating to both the cap on, and repayment of, public sector exit payments are being introduced as part of the Enterprise Act 2016. This bill was given Royal Assent on 4 May 2016.
9. It is expected that the regulations relating to the recovery of exit payments will be implemented in July 2016. Those relating to the £95,000 exit payment cap are not expected to come into effect until 1st October 2016 at the earliest.
10. A newsletter has been distributed to all Local Government Pension Scheme members to advise them of the impending cap on exit payments and how this might affect them. Where an employee is entitled to unreduced pension benefits as part of their exit package but the cost of the exit payment, including the pension strain figure, exceeds the maximum limit, the employee may be given the option of receiving payment of the reduced pension and lump sum, giving up some of their redundancy or other exit payment to remove the reduction to their pension and lump sum or a mixture of these two options. A separate report to the Committee on pensions discretions under the Local Government Pension Scheme addresses an element of this.

## **Potential Implications for the Council**

11. A number of potential issues relating to the introduction of these regulations have been identified:-

- Employees may be less likely to volunteer for redundancy if their exit package is likely to be affected by the cap. This may result in an increase in the number of compulsory redundancies required;
- The Council is likely to save money on the cost of redundancies where early release of unreduced pension is involved as the employee will need to make a contribution towards any pension strain costs if the total package exceeds £95,000;
- Employees may be less inclined to enter into settlement agreements and be more willing to litigate, given that no cap will then apply to any compensation payment. This could result in increased litigation costs; although it should be noted that the vast majority of settlement agreements are significantly less;
- Appointment timescales for senior managers may be extended as pre-employment checks will need to be conducted to determine whether a qualifying exit payment was made by their previous employer. If this is the case, confirmation will need to be obtained that the individual has agreed repayment terms with that employer before they can start work with the Council;
- The Council and the public sector in general may experience problems recruiting experienced senior employees from other public sector organisations. Individuals who have received a relevant exit payment may delay looking for alternative employment until the 12 month repayment period has passed, or will seek work in other sectors.

12. A number of the Council's policies and procedures will need to be updated to reflect the new legislative requirements. Processes will also need to be established to ensure that sufficient records are available to allow for the calculation of any amounts to be repaid and to publish, at the start of each financial year, the details of any waivers granted in respect of the payment of exit payments.

## **Recommendation**

13. The Committee is asked to note the contents of the report. A further report will be provided to the Committee once further information is available, and this will include relevant changes to the Council's pay policy.

## **Background papers**

14. None.

## **Officer to Contact**

Gordon McFarlane, Assistant Director - Corporate Services  
 Tel: 0116 3056123  
 Email: [gordon.mcfarlane@leics.gov.uk](mailto:gordon.mcfarlane@leics.gov.uk)

**Equal Opportunities Implications**

15. Possible implications as a result of the capping of exit payments. An assessment will be carried out once sufficient detail is known.



**EMPLOYMENT COMMITTEE****30 JUNE 2016****LOCAL GOVERNMENT PENSION SCHEME****REPORT OF THE DIRECTOR OF CORPORATE RESOURCES****Purpose of Report**

1. The purpose of this report is to seek the Committee's agreement to the policy decisions afforded to the County Council as a scheme employer under the provisions of the Local Government Pension Scheme (LGPS).

**Background**

2. The pension regulations require the County Council to formulate, publish and keep under review its policies in respect of certain areas of the Scheme where it may exercise its discretion. There are five such discretions which are set out below under the heading "Discretionary Policies required to be published".
3. Following the introduction of the new LGPS on 1 April 2014, some of the previous discretions have been removed whilst new ones have been implemented or are similar to previous discretions.
4. Whilst there is no requirement to have a written policy on all discretions, the Council has also set out a further five written policies in order to provide clarity for LGPS members.
5. In respect of all discretionary policies, these were agreed by the Committee at its meeting on 12 June 2014, and although no changes are proposed in this report, it is good practice to keep them under review.
6. Legislation to cap public sector exit payments is expected to come into effect on or around 1 October 2016. The cap includes all payments (including the capital cost of pension release) in relation to all exits from employment. Due to the likely threshold, and the fact that the capital cost of pension release is included in the calculation, it is likely that a number of individuals at a management level may in the future be impacted by this change. The proposals are covered by a separate report to the Committee, and once all the implications are known, a more detailed report will be submitted to a future Committee, as the changes will also mean that a revised pay policy will have to be agreed. The proposals suggest that employees will be able to cover any excess costs themselves, in order to access unreduced pension benefits. Current LGPS regulations only allow the employer to pay the pension strain cost. Pension scheme regulations and Leicestershire County Council's (LCC) LGPS discretionary policies will therefore need to be amended to enable the

individual to cover costs.

7. It is therefore recommended that the following is added to the list of discretionary policies from 1 October 2016 (or if delayed, when the new regulations come into force by virtue of the Enterprise Act 2016).

<b><u>Regulation</u></b>	<b><u>Discretion</u></b>	<b><u>Policy</u></b>
Changes relating to the Enterprise Bill – when enacted.	Whether agreement will be reached between the employer and scheme member as to the mechanism for the member paying the strain (or a proportion) on the fund costs – to allow unreduced pension benefits to be paid where the £95k cap is exceeded.	LCC will liaise with each scheme member to arrange the appropriate method of making payment of the strain on the fund costs, where the member decides to do so.

### **Discretionary Policies Required to be Published**

8. The discretionary policies below are required to be published by the pension regulations:-

- (i). LGPS Regulations - Regulation 31: Power of employer to award additional pension:-

<b>Explanation</b>	<b>Employer's Policy</b>
An employer may resolve to award a member additional pension of not more than £6,500 (figure as at 1 April 2014) a year within 6 months of leaving to a member whose employment was terminated on the grounds of redundancy or business efficiency.	The Council will not normally agree to award an additional pension under this regulation.

- (ii). LGPS Regulations 2013 - Regulation 16(2)(e) and 16(4)(d): Funding of additional pension contributions (shared cost):-

<b>Explanation</b>	<b>Employer's Policy</b>
An active member in the main section of the scheme who is paying contributions may enter into arrangements to pay additional pension contributions (APCs) by regular contributions or a lump sum.  Such costs may be funded in whole or in	The Council has not adopted this discretion.

<p>part by the member's Scheme employer.</p> <p>The employer will need to determine a policy on whether it will make a contribution towards the purchase of extra pension.</p> <p>This does not relate to cases where a member has a period of authorised unpaid leave of absence and elects within 30 days of return to work to pay a shared cost APC to cover the amount of pension "lost" during that period of absence. In these cases the employer <u>MUST</u> contribute 2/3rds of the cost (Regulation 15(5) of the LGPS Regulations 2013.</p>	
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(iii). LGPS Regulations 2013 - Regulation 30 (6): Flexible Retirement:-

<b>Explanation</b>	<b>Employer's Policy</b>
<p>An active member who has attained the age of 55 or over who reduces working hours or grade of an employment may, with the Scheme employer's consent, elect to receive immediate payment of all or part of the retirement pension to which that member would be entitled in respect of that employment if that member were not an employee in local government service on the date of the reduction in hours or grade, adjusted by the amount shown as appropriate in actuarial guidance issued by the Secretary of State.</p> <p>As an employer you need to determine the conditions under which you would approve a flexible retirement taking place.</p>	<p>The Council has agreed to release pension where there is no cost and not to waive any reduction.</p> <p>Members must reduce their hours by a minimum of 40% and/or reduce their grade.</p> <p>The Council may however allow the release of pension where there is a cost or waive reduction in a potential redundancy situation, where a reduction may occur through redeployment, or in other exceptional circumstances.</p> <p>In all circumstances, there must be an agreed business case.</p>

(iv). LGPS Regulations 2013 - Regulation (paragraph 1(1)( c) of Schedule 2 to the LGPS (Transitional Provisions, Savings and Amendment) Regulations 2014): Switching on rule of 85:-

<b>Explanation</b>	<b>Employer's Policy</b>
<p>A member who has not attained normal pension age but who has attained the age of 55 or over, may elect to receive immediate payment of a retirement</p>	<p>The Council will not apply either discretion, unless there is a business case to support this as an alternative to a</p>

<p>pension in relation to an employment if that member is not an employee in local government service in that employment, reduced by the amount shown as appropriate in actuarial guidance issued by the Secretary of State.</p> <p>In these circumstances (other than flexible retirement) the 85 year rule does not automatically apply to members who would otherwise be subject to it who choose to voluntarily draw their benefits on or after age 55 and before 60.</p> <p>The employer has the discretion to “switch on” the 85 year rule for such member (paragraph 1(1)( c) of Schedule 2 to the LGPS (Transitional Provisions, Savings and Amendment) Regulations 2014.</p> <p>If the employer does agree to switch back on the rule of 85, the cost of any strain on the fund resulting from the payment of benefits before age 60 would have to be met by the employer.</p>	<p>redundancy situation.</p>
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- (v). LGPS Regulations 2013 - Regulation (paragraph 2(1) of Schedule 2 to the LGPS (Transitional Provisions, Savings and Amendment) Regulations 2014): Waiving of actuarial reduction:-

<b>Explanation</b>	<b>Employer’s Policy</b>
<p>An employer has the discretion, under a number of retirement scenarios, to waive actuarial reductions on compassionate grounds.</p> <p>The cost of which would fall upon the employer.</p> <p>n.b. “Compassionate grounds” is not defined in the regulations.</p>	<p>The Council will not apply this discretion, unless there are exceptional circumstances.</p> <p>The Employment Committee and the Director involved will consider any cases and will decide whether the actuarial reductions should be waived. In all cases the financial position of the County Council must be considered.</p>

### **Additional Discretionary Policies**

9. There are a number of other discretions which Scheme employers may exercise

under the LGPS Regulations 2013. In order to provide clarity for members, the County Council has a written policy in place for an additional five discretionary policies. These are set out below:-

- (i). LGPS Regulations 2013 – Regulation 17 - Shared Cost Additional Voluntary Contribution Facility:-

<b>Explanation</b>	<b>Employer's Policy</b>
This discretion allows the Employer to maintain and contribute to an employee's Additional Voluntary Contribution Scheme.	The Council has not adopted this discretion.  This will not have any effect on the existing AVC facility available where the employee only is able to make such contributions.

- (ii). LGPS Regulations 2013 - Regulation 100 (6) – election transfer within 12 months:-

<b>Explanation</b>	<b>Employer's Policy</b>
This discretion allows the Employer to extend the 12 month limit a member has in which to elect to transfer other pension rights into the LGPS. This has to be with the agreement of the Administering Authority.	The Council as the Administering Authority will not normally allow an extension of the 12 month limit.  Extenuating circumstances may apply and this would include:- <ul style="list-style-type: none"> <li>• Where evidence exists that an election was made within 12 months but his was not received by the administering authority;</li> <li>• Where evidence exists that the member was not aware of the 12 month limit due to maladministration.</li> </ul>

- (iii). LGPS Regulations 2013 - Regulation 22 (7) and (8) – election to aggregate within 12 months of commencement:-

<b>Explanation</b>	<b>Employer's Policy</b>
This discretion allows the Employer to extend the 12 month time limit a member has within which they must elect not to have deferred benefits aggregated with their new LGPS employment.	The Council will not normally extend this 12 month time limit.  Extenuating circumstances may apply and this would include:- <ul style="list-style-type: none"> <li>• Where evidence exists that an election was made within 12 months</li> </ul>

	<p>but his was not received by the administering authority;</p> <ul style="list-style-type: none"> <li>• Where evidence exists that the member was not aware of the 12 month limit due to maladministration.</li> </ul>
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(iv). LGPS Regulations 2013 - Regulation 9 – allocation of contribution band:-

<b>Explanation</b>	<b>Employer's Policy</b>
<p>This discretion allows the Employer to determine which contribution band is allocated on joining the scheme and at each April. It also determines the circumstances when an employee's band may be reviewed.</p>	<ul style="list-style-type: none"> <li>• Base pay on actual pay in April plus previous year's overtime;</li> <li>• Run an exercise half yearly as a check and re-band up or down where necessary;</li> <li>• Re-band on all contractual changes, but not ad hoc hours changes and re-band upon a pay award.</li> </ul>

(v). LGPS Regulations 2013 - Regulation 21 – assumed pensionable pay:-

<b>Explanation</b>	<b>Employer's Policy</b>
<p>This discretion allows the Employer to determine whether to include in the calculation of assumed pensionable pay the amount of any "regular lump sum payment".</p> <p>This is in cases where an employee's pay needs to be calculated where their pay has been reduced due to certain absences in order that they are not unduly advantaged or disadvantaged.</p>	<ul style="list-style-type: none"> <li>• To determine in individual cases where necessary to establish in a fair, equitable and justifiable way what the members likely pay would have been but for the absence, and in cases where this pay is to be used for future enhancements whether that level of pay would have been received every year to normal retirement age.</li> </ul>

### **Recommendations**

10. That the Committee be asked to approve the Policy decisions set out in paragraphs 7 to 9 above, noting that the discretion relating to the Exit Payment Regulations is currently provisional until the Enterprise Act 2016 comes into force.

### **Background Papers**

11. None.

**Officer to Contact**

Gordon McFarlane  
Assistant Director, Corporate Services and Transformation  
Tel: 0116 305 6123  
Email: [gordon.mcfarlane@leics.gov.uk](mailto:gordon.mcfarlane@leics.gov.uk)

**Equal Opportunities Implications**

12. Possible implications as a result of the capping of exit payments. An assessment to be carried out once sufficient detail is known.

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**EMPLOYMENT COMMITTEE****30 JUNE 2016****ORGANISATIONAL CHANGE POLICY AND PROCEDURE****SUMMARY OF ACTION PLANS****REPORT OF THE CHIEF EXECUTIVE****Introduction**

1. The purpose of this report is to present a summary of current Action Plans which contain provision for compulsory redundancy and details of progress in their implementation.

**Background**

2. At its meeting on 11 February 2010 the Committee approved a new Organisational Change Policy and Procedure (replacing the Policy in the Event of Redeployment and Redundancy) together with revised arrangements through which the Committee would exercise its oversight of the implementation of that procedure.
3. In accordance with that decision, summaries of current Action Plans are attached as follows:
  - Appendix A1 – Implementation Completed;
  - Appendix A2 – Implementation Underway.
4. The arrangements also involve presenting a summary of any outstanding comments/concerns raised by members of the Committee. There are no outstanding comments/concerns on this occasion.
5. Members are asked to indicate where they wish a representative of the Department concerned to be present to answer any questions in any particular case, if they have not already done so.

**Equality and Diversity Implications**

6. The Organisational Change Policy and Procedure is designed to ensure that changes which impact on employees are implemented in a fair and non-discriminatory manner.

**Recommendation**

7. That the report be noted.

**Officer to Contact**

Anna Rog, Committee Officer

☎ 0116 305 0455

Email: [anna.rog@leics.gov.uk](mailto:anna.rog@leics.gov.uk)

Gordon McFarlane, Assistant Director – Corporate Services & Transformation

☎ 0116 305 6333

Email: [gordon.mcfarlane@leics.gov.uk](mailto:gordon.mcfarlane@leics.gov.uk)

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**EMPLOYMENT COMMITTEE – 30 JUNE 2016**

**SUMMARY OF CURRENT ACTION PLANS - IMPLEMENTATION COMPLETED**

Action Plan	Date Approved	Outcome
A&C - Personal Care and Support - The Trees	06/01/2015	2 Compulsory Redundancies
A&C - Harborough, Lutterworth, Autumn Leaves & Timber Street	13/09/2015	1 Compulsory Redundancy
A&C - North West Leicestershire Community Life Choices Service	07/10/2015	1 Compulsory Redundancy
A&C – Communities & Wellbeing Leadership Team Restructure	07/03/2016	1 Compulsory Redundancy
A&C - Closure of Catherine Dalley House	28/01/2016	28 Compulsory Redundancies
CEX – Policy, Economy & Communities Service	15/04/2015	1 Compulsory Redundancy
CEX - CEX – Strategy, Partnership & Communities : BI Service Review & Action Plan	30/10/2015	1 Compulsory Redundancy
CEX - Legal and Regulatory Services	23/02/2016	1 Compulsory Redundancy
CFS - Supporting Leicestershire Families Business Support	29/09/2015	2 Compulsory Redundancies
RES - Strategic Information Technology & Communications	02/10/2015	1 Compulsory Redundancy
RES – People & Transformation : Departmental Management Team Stage 1	08/10/2015	1 Compulsory Redundancy
RES : Restructure of County Hall Catering & Beaumanor	02/02/2016	1 Compulsory Redundancy

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**EMPLOYMENT COMMITTEE – 30 JUNE 2016**  
**SUMMARY OF CURRENT ACTION PLANS - IMPLEMENTATION UNDERWAY**

Action Plan	Date Approved	Current Position	Next Steps	Max <b>Compulsory</b> Redundancies
A&C - Community Libraries Transfer		Staggered go-live dates		15 redundancies
A&C - Melton Community Life Choices Service	05/01/2016	The staffing structure finalised	Still going through consultation - no final outcome yet	2 redundancies
A&C - Adult Learning Service and Business Support Action Plan	04/05/2016	Action plan has been launched to staff on 05/05/2016	Interim meetings during the consultation due on 16 May and 6 June	8.91 FTE Redundancies
CFS - Youth Offending	18/01/2016	Action plan launched		4 redundancies
CFS - Closure of Greengate Childrens Home	19/02/2016	Action Plan launched 24 February 2016	Closure of home. Employees leaving via a staggered process	17 redundancies
CFS - Placement Support Services Team	02/02/2016	Staffing levels finalised	Launch meeting took place on 7 March 2016.	1 redundancy
CFS - Supporting Leicestershire Families - Youth Offer - Duke Of Edinburgh	02/06/2016	Launch on 2nd June		1 redundancy
E&T - Environment & transport Phase 3	27/11/2015	Midpoint meeting 22 January 2016	Selection process ongoing - may result in more compulsory redundancies	3 redundancies

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