

Progetto Governance delle Risorse Umane-Modelli Innovativi

Attività dirette al rafforzamento degli Uffici addetti alle politiche e alla gestione del personale delle Amministrazioni degli Enti Locali delle Regioni Obiettivo 1, dell'Abruzzo e del Molise attraverso l'assistenza organizzativa

MODELLI DI GESTIONE DELLE RISORSE UMANE **Repertorio di buone pratiche nazionali ed europee**

Caso di studio

Bristol City Council
(Comune di Bristol)

Regno Unito

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BRISTOL CITY COUNCIL¹

1. Premessa

La scheda descrittiva del modello di gestione del personale del comune di Bristol, di seguito presentata, segue lo schema generale di riferimenti adottato nella ricerca, limitando tuttavia l'esame ai seguenti aspetti (i cui contenuti generali sono stati definiti nel modello generale):

- il concetto (o l'idea) di gestione del personale;
- i metodi utilizzati nello sviluppo dei processi di gestione del personale;
- l'organizzazione interna all'ente in tema di HRM;
- le politiche effettive perseguite in tema di HRM.

L'esame condotto non ha invece permesso di raccogliere sufficienti informazioni per una trattazione esaustiva dei punti:

- impatto della gestione del personale a livello organizzato e gestionale.
- indici di performance dei singoli processi di gestione messi in atto.

Un breve paragrafo introduttivo presenta le caratteristiche del BRISTOL CITY COUNCIL al fine di agevolare il lettore nei confronti con il caso italiano.

2. Bristol City Council

Bristol, con oltre 400.000 abitanti è la principale città a sud ovest dell'Inghilterra. In una delle aree economicamente e culturalmente più attive del paese, il City council è il principale datore della regione, occupando oltre 16.500 persone. In verità il numero si riduce a poco meno di 10.000 unità considerando come quasi 7.000 unità operano in istituti di istruzione sottoposti a un gestione autonoma.

Il City Council è governato da un organo politico composto dai 70 rappresentanti direttamente eletti dalla cittadinanza (*councillor*). Regularmente i 70 membri si riuniscono in assemblea (denominata *full council*) e deliberano riguardo l'approvazione delle principali politiche e dei piani organizzativi, l'autorizzazione dei documenti economico finanziari, l'elezione degli organi esecutivi e la nomina di altre commissioni.

Gli stessi rappresentanti partecipano, con funzioni e ruoli diversi, al governo dell'amministrazione. Un ristretto numero di *councillor* è selezionato dall'assemblea per occuparsi del governo dell'ente. Il gabinetto da essi composto è l'organo esecutivo del *council* ed

esercita il governo dell'ente implementandone le politiche. L'organo predisponde e presenta all'approvazione del *full council* le direttive politiche ed economico finanziarie.

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Si ringrazia l'amministrazione del Council di Bristol per aver consentito e facilitato la realizzazione dello studio. Un particolare ringraziamento va a Robert Britton (Head of Human Resources) e Pauline Davey (HR Manager).

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Il City Council eroga servizi in 5 aree principali, che corrispondono ad altrettanti dipartimenti e ad essi si aggiunge un dipartimento con funzioni di supporto. Per ognuno si riportata il numero di operatori impegnati al fine di consentire una almeno sommaria comprensioni delle fondamentali proporzioni in cui si articola l'organismo personale.

- Educazione e apprendimento continuo. (6775 unità impiegate in istituzioni scolastiche dotate di gestione autonoma (894 operatori alle dirette dipendenze)
- Cultura e intrattenimento. (911 operatori impiegati)
- Pianificazione dei trasporti e sviluppo sostenibile. (546 addetti)
- Servizi sociali e salute. (3014 operatori)
- Servizi nei quartieri e edilizia popolare. (1410 operatori)
- Servizi centrali di supporto. (994 operatori in servizi centrali: finanza, economato, risorse umane e 1861 operanti in contract service: *catering*, pulizie, trasporti, edilizia e manutenzioni..)

La struttura amministrativa è coordinata da un direttore generale (Chief Executive), alle cui dirette dipendenze opera una struttura di supporto composta di 213 unità.

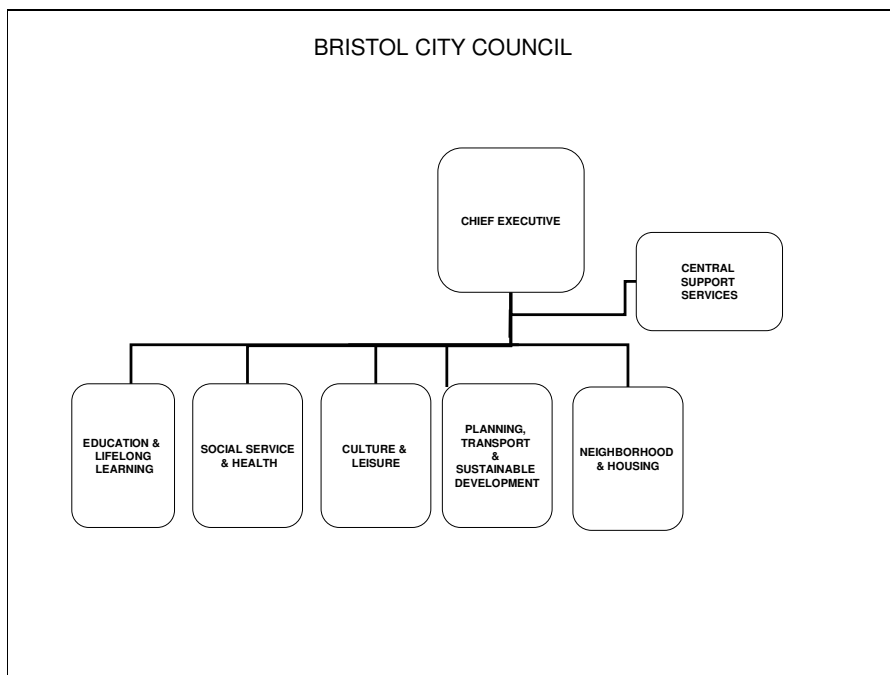


Fig. 2: Organigramma del Council di Bristol (fonte: Council of Bristol)

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3. Idea di gestione del personale

La concezione ufficiale alla quale si ispira la gestione delle risorse umane nel Council di Bristol è espressa dal documento "Human Resources Strategy 2004-2007" (allegato n. 1).

Il fondamento strategico sul quale si basa il documento riprende il piano strategico dell'ente mettendo al centro dell'attenzione il servizio agli utenti. In questa ottica nel documento vengono prescritti alcune linee di comportamento chiave nella gestione delle risorse umane:

- ascoltare e informare le persone;
- rendere *accountable* le azioni e i provvedimenti intrapresi;
- essere onesti e trasparenti;
- apprendere dai risultati raggiunti e dagli errori;
- essere ottimisti incoraggiando e supportando l'innovazione.

Ciò (sempre secondo la documentazione ufficiale) si traduce nello sviluppo di una cultura aziendale dove le risorse umane:

- riconoscono come primari i bisogni di utenti e cittadini;
- sono focalizzate sulle conseguenze dei servizi erogati e sul loro miglioramento;
- sono consapevoli di come la loro attività contribuisce al raggiungimento degli obiettivi generali;
- sono supportate a sviluppare e accrescere le proprie abilità e risorse per contribuire effettivamente allo sviluppo dell'ente;
- riconoscono se stesse come direttamente attive nell'ente, impegnandosi insieme a colleghi e partner a fornire servizi di qualità alla popolazione di Bristol;
- mediante un sistema chiaro di performance management sono incentivate alla innovazione e responsabilità;
- sono indirizzate da una chiara leadership ad alti livelli di prestazione.

Operativamente, definiti i valori e la cultura alla base della gestione delle risorse umane, il piano strategico (Human Resources Strategy 2004-2007) si articola sulla base di 5 categorie individuate nell'ambito del piano nazionale per lo sviluppo dei dipendenti pubblici. Per ognuna di queste categorie è precisato lo stato dell'arte e sono definite le priorità operative per il futuro.

- *Sviluppo di capacità di leadership.* La promozione della leadership è individuata come elemento essenziale per la definizione delle direttive strategiche, la motivazione del personale, l'orientamento della cultura organizzativa verso un continuo stimolo al miglioramento del servizio e allo sviluppo di nuove competenze. A questo fine, è in fase di attivazione un programma di sviluppo e formazione delle capacità di *management* e di *leadership* dedicato a tutti i dirigenti a partire dai quarti livelli di riporto.
- *Sviluppo di skill e capacità di lavoro.* La continua evoluzione delle richieste degli utenti, delle esigenze amministrative e delle tecnologie, richiedono forza lavoro capace di incrementare ed estendere le proprie competenze. Il council riconosce la rilevanza della formazione e sviluppo di tutto il personale per promuovere produttività, performance e miglioramento.

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- *Sviluppo dell'organizzazione.* Lo sviluppo organizzativo è elemento essenziale per la creazione di una cultura positiva, il miglioramento del valore dei servizi erogati e l'assicurazione del *value for money*. Il Council, a partire dal superamento dell'eccessiva attenzione ai processi (a discapito degli *outcome*), si impegna per l'adozione di una positiva cultura del fare affiancata da un robusto sistema di *performance management* e da appropriati sistemi operativi.
- *Risorse del governo locale.* Un elevato *turnover* e un impoverimento delle competenze sono negativi per l'erogazione dei servizi. Il controllo di queste dimensioni nel council deve essere particolarmente attento specie per le aree professionali per le quali, per ragioni diverse, si riscontri una carenza generalizzata sul mercato.
- *Retribuzione e ricompense.* Nell'ambito degli accordi nazionali e nel rispetto della sostenibilità finanziaria complessiva dell'ente, i sistemi retributivi e premianti devono essere in grado di motivare, trattenere e sviluppare le risorse umane.

Operativamente, come si legge testualmente dal piano strategico del Council, “il Council ha sviluppato e implementato una strategia di gestione delle risorse umane per migliorare le modalità con cui vengono gestite le nostre più importanti risorse, le persone che operano con noi. All'interno di questa strategia stiamo rafforzando le nostre abilità a reclutare e mantenere operatori in modo di sviluppare un nuovo sistema di job evaluation, modernizzare le procedure di reclutamento e sviluppare una struttura utile allo sviluppo del personale e all'incremento delle sue performance. Stiamo introducendo un vasto programma di leadership e management per aumentare le competenze e la fiducia del nostro personale. Infine abbiamo in essere iniziative per la salute sul posto di lavoro”.

Da quanto rilevato emerge una funzione risorse umane denotata da una concezione elaborata e differenziata.

Si riscontra un orientamento alle esigenze strategiche e in generale al futuro. Meno netta è la connotazione verso i processi o verso le persone e i valori anche se questo ultimo ambito appare preminente. Si è probabilmente in un avanzato stadio di un percorso di transazione da una logica incentrata su processi di “supporto alle strategie”, imperniata sui sistemi operativi, a una logica “agente di cambiamento e sviluppo organizzativo” focalizzata su percorsi di innovazione e gestione del cambiamento organizzativo in stretta relazione con il sistema dei valori e la cultura organizzativa. Se gli slogan e i macro obiettivi del piano hanno già assunto i contenuti tipici di una gestione tesa al cambiamento organizzativo, altri elementi (a partire dai piani operativi) presentano un'impostazione ancora finalizzata ad allineare i meccanismi operativi del personale con le politiche generali dell'ente.

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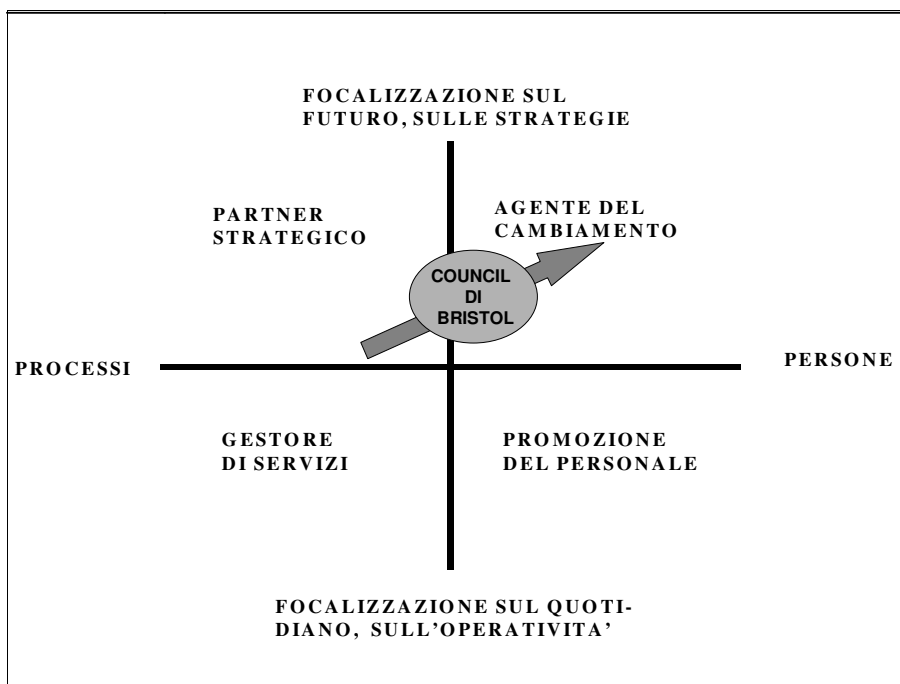


Fig. 2: I ruoli della direzione del personale nel council di Bristol

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4. Organizzazione interna

A seguito di una recente riforma, tutte le funzioni relative alla gestione delle risorse umane, prima suddivise nei diversi dipartimenti del Council di Bristol sono state centralizzate nella Human Resource Division. La divisione risorse umane fa parte dal dipartimento per i servizi centrali di supporto. Si tratta pertanto, di un posizionamento di staff, di secondo livello (fig.3).

La divisione risorse umane occupa 201 dipendenti², è coordinata da 1 direttore, 7 manager di terzo livello, una quindicina di quarto e altrettanti di quinto livello. Il direttore della funzione risponde al direttore del dipartimento servizi centrali pur avendo frequenti contatti diretti con il *chief executive*.

All'interno dei servizi centrali di supporto che occupano 994 persone (non considerando i contract service), la funzione risorse umane è la seconda più numerosa dopo la funzione Property e Finance.

Al suo interno la funzione risorse umane è articolata in sette uffici ciascuno con una posizione organizzativa omogenea, a capo di ognuno dei quali è preposto un manager di terzo livello.

Al fine di garantire un costante collegamento con i dipartimenti, alcuni operatori (complessivamente circa 40 unità) operano fisicamente presso i dipartimenti (le unità continuano a rispondere esclusivamente alla divisione risorse umane). La funzione del personale è pertanto, pur limitatamente ad alcune unità, decentrata nei differenti dipartimenti.

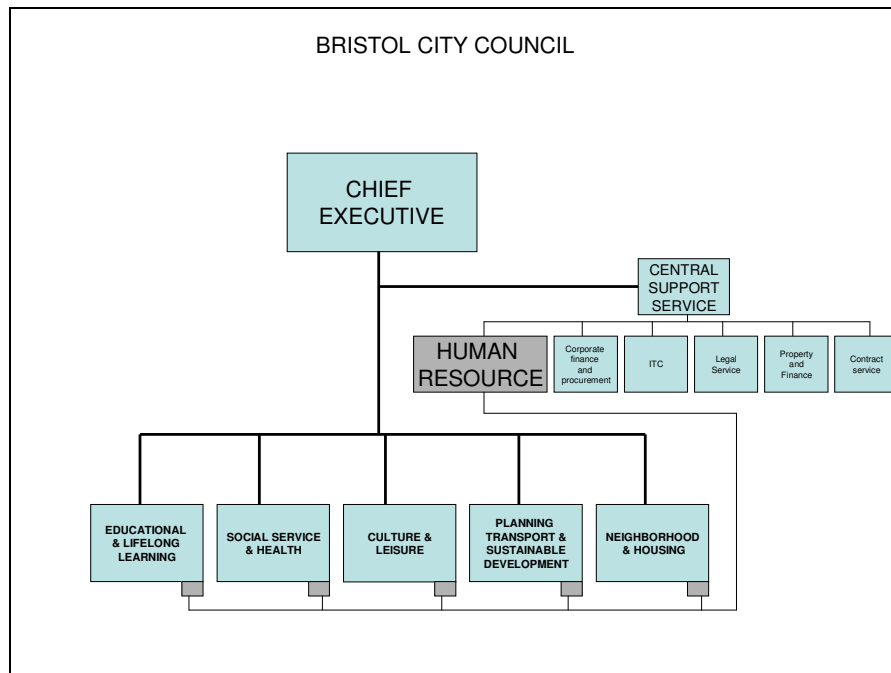


Fig. 2: Posizionamento organizzativo della divisione risorse umane nel Council di Bristol

² I dati sono aggiornati al primo semestre 2005.

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Le principali attività svolte dalla funzione *human resource* riguardano lo sviluppo del personale, le relazioni sindacali, la salute dei dipendenti, la gestione amministrativa (compreso paghe – contributi, gestione delle presenze), la valutazione, la formazione e le pari opportunità.

Nell'espletamento delle proprie attività la divisione conserva un intenso rapporto di collaborazione con il management dei dipartimenti con cui concerta la politica in base alle specifiche esigenze. La presenza di un legame stretto con i dipartimenti è peraltro testimoniata dalla già citata locazione di alcune unità della divisione risorse umane nei dipartimenti per facilitare i flussi informativi.

Le attività svolte dalla divisione si estendono anche ai livelli più elevati della dirigenza (di primo e secondo livello) in diretta collaborazione con il Direttore Generale.

Il posizionamento organizzativo di secondo livello all'interno del dipartimento servizi centrali di supporto non impedisce alla divisione di instaurare un collegamento diretto con la struttura organizzativa e la direzione generale. Il posizionamento è pertanto da leggere più in chiave gestionale che organizzativa.

Una testimonianza del grado di indipendenza della funzione è desumibile dall'elenco (reperibile in documenti ufficiali dell'ente) dei clienti interni ed esterni con i quali la funzione è chiamata a confrontarsi:

- direzione generale;
- management dipartimentale;
- management dei servizi amministrativi;
- organi direttivi degli istituti scolastici;
- dipendenti attuali e potenziali;
- organizzazioni sindacali;
- autorità pubbliche esterne all'ente (vigili del fuoco, istituti di edilizia popolare, servizi per l'impiego, organi di governo nazionale, ufficio nazionale di statistica, ...).

Completivamente la funzione risorse umane appare:

- strutturata in modo significativo e dotata di risorse dal punto di vista numerico e professionale adeguate alle sue attività;
- dotata di una spiccata unitarietà (è stata costituita proprio con l'intendimento di accentrare tutti i processi di gestione del personale) ma non priva di articolazioni nei dipartimenti;
- sufficientemente connessa agli organi di indirizzo e inserita in un articolato sistema di relazioni con soggetti interni e esterni.

5. Metodologie di HRM

Le dimensioni del Council di Bristol fanno sì che il numero e la varietà di sistemi operativi di gestione del personale sia considerevole. In generale vi è una elevata attenzione alla loro codifica in procedure e linee guida. A titolo esemplificativo si illustrano di seguito tre sistemi operativi di gestione del personale Performance management, reclutamento e selezione e flessibilità del rapporto di lavoro. Per ognuna di esse in allegato sono riportati alcune linee guida.

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Performance management (Allegato n. 2)

La metodologia prevede le modalità per la valutazione della performance per i manager di 1°, 2° e 3° livello e i connessi schemi di sviluppo. Obiettivo è quello di diffondere una cultura di valutazione della performance mediante:

- meccanismi di valutazione della performance dei manager;
- utilizzo di un sistema di competenze a 360 gradi.

Per performance management si intende “un processo strutturato di confronto tra un manager e il suo dirigente finalizzato ad assicurare che le prestazioni dei singoli e dei team siano direttamente collegate agli obiettivi dell'amministrazione.”

Operativamente ciò si concretizza in:

- individuare (accertandosi la piena comprensione e condivisione) i risultati da raggiungere;
- identificare le skill e i comportamenti richiesti per raggiungere i risultati;
- gestire le persone in modo da incrementare la probabilità che i risultati siano raggiunti.

Lo schema di azione prevede che ogni manager:

- abbia chiari gli obiettivi da raggiungere;
- conosca come meglio raggiungerli;
- possieda specifici feedback sul proprio operato.
-

Il processo di performance management si articola in cinque stadi.

1. Fase 1: Planning for performance. Accordo tra manager e dirigente in merito agli obiettivi futuri in termini di performance;
2. Fase 2: Developing performance. Fornitura delle competenze e dei supporti necessari per raggiungere gli obiettivi chiave.
3. Fase 3: Tracking & monitoring performance. Monitoraggio continuo della performance in base a parametri concordati.
4. Fase 4: Problem-solving. Durante il processo di monitoraggio della performance sono individuati, discussi e affrontati i problemi emergenti.
5. Fase 5: Appraising performance. Congiuntamente manager e dirigente riesaminano a fine del periodo la performance verificando il raggiungimento degli obiettivi prefissati. Se il processo di monitoraggio è stato rigoroso non vi sono sorprese.

Il processo ha usualmente durata annuale. Tutte le fasi si svolgono mediante interazione diretta tra manager e dirigente (fig. 4). La fase 5 chiude il ciclo e coincide con a fase 1 di apertura di un nuovo ciclo.

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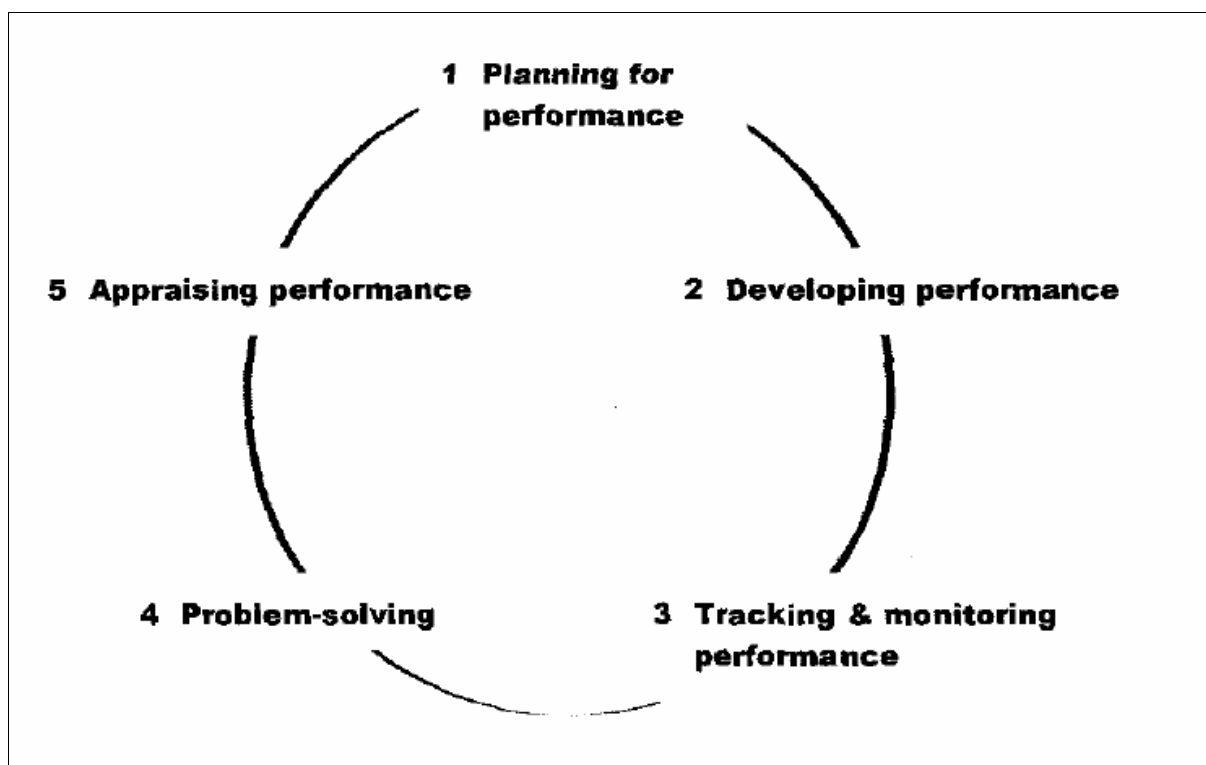


Fig. 4: Il processo di performance management

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L'efficacia della performance è funzione:

- degli obiettivi raggiunti, ovvero del raggiungimento dei risultati;
- di come l'attività è stata svolta, dei comportamenti e delle competenze dimostrate dal manager, ovvero di come gli obiettivi sono stati raggiunti.
- dei fattori umani e organizzativi che hanno influito sulla performance.

Al fine di una piena comprensione della performance il sistema di *performance measurement* adotta un impianto per competenze articolato su quattro aree.

- *Creating value for service*. Creare valore per il servizio, che si concretizza nell'azione manageriale finalizzata alla focalizzazione sul cliente, nello sviluppo della strategia, nell'utilizzo efficace delle risorse e nella valutazione e miglioramento della performance organizzativa.
- *Buiding productive working relationships*. Costituire relazioni produttive ovvero finalizzare l'azione manageriale alla promozione e valorizzazione del lavoro in team, alla guida e leadership dei collaboratori, alla promozione delle connessioni.
- *Working smartly*. Lavorare brillantemente ovvero raccogliere e usare le informazioni, adottare una logica per progetto, analizzare e risolvere problemi, prendere decisioni.
- *Integratine equalities*. Cura e promozione delle pari opportunità con connessa gestione e diffusione all'interno dei servizi erogati.

Politiche per il reclutamento e la selezione (Allegato n. 3).

La procedura illustra un insieme di indicazioni sui valori alla base dei processi di reclutamento, gli adempimenti precedenti la fase di reclutamento, le tecniche di selezione, gli adempimenti necessari affinché il personale selezionato entri in servizio.

Per quanto riguarda il processo di selezione vero e proprio, la procedura norma tra l'altro gli aspetti di seguito sommariamente riportati.

- La scelta e la composizione dei panel (commissioni incaricate della selezione). La commissione, al cui vertice è nominato un presidente, deve essere bilanciata in termini di sesso e razza dei componenti. Ogni componente del panel deve essere privo di interessi o conoscenza personale con dei candidati. In caso di selezione di candidati per posizioni manageriali di primo o secondo livello sono previste apposite procedure.
- Le modalità di effettuazione di prove da affiancare all'intervista. Prove, come esami scritti, test attitudinali, prove di gruppo e esercitazioni pratiche, sono previste nel rispetto delle pari opportunità e di una stretta connessione al profilo richiesto.
- Il cuore del processo di selezione è l'intervista che rappresenta il momento principale di acquisizione di informazione tra candidato e panel. L'intelaiatura dell'intervista deve essere uguale tra tutti i candidati a fine di garantire pari opportunità e raccogliere informazioni comparabili. Approfondimenti sono previsti in relazione alle specifiche

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caratteristiche del candidato. A fine colloquio al candidato è richiesta la possibilità di fare domande in merito alla posizione, in ogni caso sono fornite informazioni in merito ai tempi entro cui saranno diffusi gli esiti della selezione e gli eventuali stadi di selezione successivi. Sono vietate domande in merito alla condizione familiare, razziale, convinzioni politiche o religiose.

Politiche e procedure per work-life balance (Allegato n.4)

Si tratta di un documento inerente la flessibilità del rapporto di lavoro, che intende “permettere la ricerca del miglior equilibrio tra lavoro e altri aspetti della vita”, “identificare le più fantasiose modalità lavorative mediante le quali migliorare il servizio erogato e le condizioni di lavoro”, il tutto facendo salvo che “i servizi pubblici sono erogati per soddisfare i bisogni dei cittadini, non per venire incontro alle esigenze degli operatori addetti alla loro erogazione”. In pratica occorre sforzarsi per individuare le modalità migliori per erogare il servizio, soddisfare gli utenti e consentire ai lavoratori di conciliare il lavoro con gli altri aspetti della loro vita.

Operativamente nella procedura sono indicate le soluzioni per la flessibilità nell'attività lavorativa quali:

- contratto part-time;
- job-sharing;
- riduzione temporanea dell'orario di lavoro;
- attività concentrata durante i periodi di scuola;
- soluzioni flessibili nell'ambito di un ammontare annuo prefissato di ore;
- lavoro a distanza;
- lavoro in orari diversi da quelli usuali;
- periodi di aspettativa;

In conclusione l'esame dei tre sistemi operativi presenti mette in evidenza come le metodologie di gestione delle risorse umane siano codificate con una limitata attenzione alla prescrizione formale degli adempimenti, ma risultino piuttosto orientate a cogliere la logica complessiva dei processi valorizzando gli spazi di interpretazione e miglioramento. In sostanza più che di regolamenti e manuali operativi si tratta di linee guida che consentono di indirizzare i comportamenti in materia di gestione del personale pur lasciando un ampio spettro di discrezionalità.

L'intento è quello di fornire degli elementi di riferimento lasciando alla gestione corrente e alla prassi la definizione degli elementi operativi.

In generale l'esame delle metodologie di HRM mette in evidenza cinque elementi che ricorrono assumendo carattere denotante:

- il già illustrato orientamento a fornire linee guida piuttosto che a codificare adempimenti;
- la rilevante attenzione riservata alle tematiche inerenti le pari opportunità;
- l'enfasi sui comportamenti e gli aspetti relazionali specie in relazione ai ruoli manageriali;
- l'orientamento al *problem solving* (particolarmente significativa a questo proposito è la procedura relativa al work-life balance);
- l'elevato livello di integrazione tra tutte le procedure.

6. Politiche di HRM

Le informazioni inerenti le politiche intraprese dalla direzione risorse umane possono essere ricavate dal piano di gestione del personale per il 2005 e 2006, documento che riporta i risultati raggiunti nel biennio 2004-2005 e gli obiettivi per il successivo periodo 2005 – 2006.

Dall’analisi del documento la logica fondamentale che emerge è quella inerente il perseguimento di obiettivi specifici di gestione operativa. L’orientamento è al miglioramento e aggiornamento dei sistemi di gestione del personale in accordo con le esigenze che si manifestano nell’ente. In questo ambito si registrano la definizione di nuove iniziative o l’aggiornamento delle stesse nell’ambito dei sistemi operativi (tra le altre indicate: introduzione di procedure di e-recruitment, introduzione di un sistema per la gestione informativa delle problematiche relative la salute e la sicurezza e l’implementazione di sistemi di gestione dei cedolini).

Accanto a questo approccio si assiste, pur con dimensioni più limitate, ad interventi orientati allo sviluppo di competenze individuali e istituzionali finalizzate alla crescita continua dell’organizzazione, attraverso l’innovazione e la gestione del cambiamento.

Programmi quali lo sviluppo di capacità di leadership tra i manager o la diffusione di skills e capacità inerenti l’orientamento al cliente-utente, in stretta connessione con gli obiettivi strategici individuati, sembrano poter essere attribuite a una volontà di sviluppare a livello organizzativo e individuale le competenze.

7. Conclusioni: il grado di coerenza complessivo

L’analisi condotta ha permesso di mettere in evidenza come la gestione del personale nel City Council di Bristol presenti una concezione spiccatamente strategica e attraverso una fase di transizione dai processi verso le persone e i valori.

In sintonia con la concezione formale si presentano le politiche effettivamente intraprese dalla direzione del personale che pur essendo ancora ancorate ai processi operativi presentano alcune istanze orientate allo sviluppo delle competenze.

I metodi di gestione del personale presi in esame si connotano un’impostazione asciutta, priva di valenze amministrative e burocratiche, viceversa evoluta e imperniata sul miglioramento, il problem solving e la connessione con le esigenze e i valori strategici.

La funzione di gestione di risorse umane, dopo una recente ristrutturazione organizzativa, nella proprio posizionamento di staff di secondo livello sembra dotata delle risorse, articolazione e autorevolezza a espletare i compiti assegnati.

Una fotografia complessiva della direzione risorse non può che cogliere un grado di coerenza piuttosto elevato. Non si tratta tuttavia di un equilibrio statico ma di un processo di evoluzione da una impostazione centrata sui processi e sugli obiettivi specifici a un assetto imperniato sulle persone e alle loro competenze. Nella capacità di conseguire questa direttrice dovrà essere in futuro valutata l’azione della direzione risorse umane del Council di Bristol.

Progetto Governance delle Risorse Umane – Modelli Innovativi :
Attività dirette al rafforzamento degli Uffici addetti alle politiche e alla gestione del personale delle Amministrazioni degli Enti Locali delle Regioni Obiettivo 1, dell’Abruzzo e del Molise attraverso l’assistenza organizzativa.

ALLEGATI

Allegato 1

Human Resources Strategy 2004 – 2007

Allegato 2

The Performance Management & Development Scheme for Management Tiers

Allegato 3

Recruitment and Selection Policy

Allegato 4

Work – Life Balance: Policy and Procedure

Allegato n. 1



Human Resources Strategy 2004 – 2007





Nick Gurney, Chief Executive

We are the largest employer in the South West. Each day we provide a complex range of services to a diverse population of some 400,000 people. The city council employs people from almost every profession, skill and work type to meet the demands from service users. Successful and effective service delivery is dependent on having a workforce which is well motivated, feels valued and is as diverse as the communities we serve, focussed on the customer and with the capacity to meet rising expectations. A skilled and flexible workforce is the Council's key resource if it is to meet changing local and national priorities, adopting new technology and new working practices to meet the challenges of modernisation and raising standards.

This Human Resources Strategy identifies recent achievements and work already in progress, as well as the priority actions that we will take to ensure that the Council has the right people, skills and flexibility to meet the city's needs. Bristol has been assessed as a "Fair" authority. With the skills, commitment and enthusiasm of our workforce, we will achieve our aim of becoming an "Excellent" authority.



1 Our culture, values and priorities

Bristol is an exciting city, one of the UK and Europe's most successful economic and cultural centres. The City Council, led by 70 elected Members, is one of the largest employers in the South West. We employ about 18,000 people, including staff in locally managed schools, to meet the needs of a diverse population of more than 400,000 people.

As with any organisation, success in delivering excellence in customer service is dependent on the commitment and skills of our workforce. We need:

- the right people
- in the right numbers
- with the right skills
- and the right motivation.

This HR strategy is designed to achieve this, and to support a substantial change in the organisation's culture towards the values set out in our Corporate Plan.

We will put serving the public at the heart of everything we do by:

- listening to and informing people
- being accountable for our actions
- being honest and open
- learning from our achievements and mistakes
- being confident; encouraging and supporting innovation.

Other important elements of the local context are recent Audit Commission reports (Corporate Governance Inspection 2001, CPA Corporate Assessment 2002), which recommended that:

Executive councillors and chief officers move to more strategic roles working with the public and other partners, supported by second-tier managers

Greater authority for operational matters is delegated to the third tier and below within the framework of a tighter corporate plan, and rigorous performance targets are linked to clear service standards and service improvements

We should clearly articulate the desired corporate culture and the core values which underpin it as a focus for the HR strategy and performance improvement.



We are therefore working towards developing a culture where:

- meeting the needs of service users and citizens comes first
- there is a focus on service outcomes and improvement
- all staff understand how their work contributes to our goals
- all staff are supported and developed to have the skills and resources to contribute effectively
- all staff see themselves as working for one council, co-operating with colleagues and external partners to deliver quality services to the people of Bristol
- innovation and responsiveness is encouraged, within a clear performance management framework
- high performance is underpinned by clear leadership.

This HR strategy has been prepared in the context of the Office of the Deputy Prime Minister/Employers Organisation's national pay and workforce strategy for local government (November 2003). It builds on a best value review of HR and an interim strategy adopted in 2002. The strategy follows the five priority themes of the national strategy:

- developing leadership capacity
- developing the skills and capacity of the workforce
- developing the organisation
- resourcing local government
- pay and rewards.

For each theme, this document summarises what has been achieved locally in recent years, and sets out the top local priorities for improvement for the future.



2 Priority Themes

2.1 Developing leadership capacity

Clear leadership is essential to setting direction, motivating staff, and setting the culture of the organisation. It stimulates continuous service improvement and staff development to deliver better services. We have been criticised for lacking leadership, and have therefore adopted a Leadership and Management Development programme for 1- 3 tiers of management.

What has been achieved?

Adoption of the corporate plan, to provide a clear statement of the Council's priorities and values

Adoption of a Leadership and Management Development Programme, working in partnership with the Office of Public Management (OPM)

Leadership Skills Workshops and Leadership Conferences

Piloting of coaching of senior managers (through IDeA)

Establishment of the member development programme

Priorities for the future

Continuing the Leadership and Management Development Programme, including action learning, in partnership with OPM

IDeA 'top team' development for the Cabinet and the Chief Officer Group (with OPM)

Extending development opportunities to 4th tier managers

Implementing the Professional Award in Local Governance for members

Developing/enhancing the leadership capacity of managers through secondment opportunities, coaching and mentoring,

Improving the proportion of women, BME and disabled employees in senior management.



2.2 Developing the skills and capacity of the workforce

Continuous change in customer demands, government requirements and technology all demand a flexible, responsive workforce, able to improve their skills and extend their capacity. We recognise the importance of training and development for all staff to boost productivity and performance and to deliver improvement.

What has been achieved?

Investors In People accreditation (in five out of six departments)

Establishment of a Strategic Development Group to focus training and development investment on agreed priorities

Setting of targets for directed developmental activity for all staff (through the PMDS process)

Implementation of new Modern Apprenticeship scheme

Development of Bristol Manager Standards for twelve specific competencies

Priorities for the future

Developing a 3 year Training Plan to maximise the benefits of investment in training and development for all staff

Improving retention through the introduction of enhanced arrangements for career development (internal secondments etc)

Extending IIP accreditation to the whole Council

Achieving defined Bristol Manager Standards for the five “core” competencies by all managers

Increasing skills in project management and procurement

Improving customer care through training and development directed by the Customer Relations and e-government Boards

Improving ICT skills, including investment to maximise the effectiveness of new office systems



2.3 Developing the organisation

Organisational development is essential to create a positive culture in the workplace, to improve service performance and to achieve value for money. We have been criticised for lack of focus, for excessive attention to process (as opposed to outcomes), and for being risk averse. A positive “can do” culture, with a robust performance management and development framework, will help motivate staff, encourage retention, and enable staff to understand and deliver the council’s objectives.

What has been achieved?

Adoption of a coherent council-wide change programme

Implementation of systematic and consistent Performance Management and Development Schemes – PMDS 1-3 and PMDS, 4+, linked to a consistent approach to service planning

Council-wide employee satisfaction surveys

Council-wide employee awards scheme

Implementation of work-life balance policy, to support flexible working to deliver services in new ways

Commencement of workforce remodelling in schools

Priorities for the future

Embedding PMDS and service planning to improve productivity and performance management

Improving HR data and information for managers as part of an overall improvement to management information

Supporting the Access to Services service improvement plan, to secure flexible and accessible service delivery

Supporting the Council's procurement strategy by ensuring clear and fair arrangements for staff where new partnership or contractual arrangements are adopted



2.4 Resourcing Local Government

High turnover and skills shortages are detrimental to service delivery. We seek to be an employer of choice, and will use recruitment, turnover and workforce planning information to improve recruitment and retention to secure service improvement and a diverse workforce. Recruitment and retention is problematic in relation to some particular skills (often where there is a national skills shortage), and this is compounded by Bristol's buoyant economy and high housing costs. However, recruitment is not currently a serious problem for more general staff.

What has been achieved?

Achievement of level 2 equalities standard

Recruitment and Retention project, resulting in revised recruitment and selection arrangements, including tackling hard to fill posts, bank recruitment, revised advertising arrangements, centralised recruitment desk

Use of recruitment assessment centres and, where appropriate, external advice in appointments

Progressive improvement of workforce diversity, through such projects as modern apprenticeship schemes and community based recruitment fairs.

Priorities for the future

Tackling recruitment/retention 'hot spots' and responding to them (eg childcare social workers, teachers, occupational therapists)

Improving the management of sickness absence

Achievement of Level four of the Equalities Standard

Opening of the "job shop", and provision of satellite job shops with online access within Bristol communities

Introduction of workforce planning and systematic analysis of future capacity gaps

Reducing early retirements, especially among school staff

Ensuring the composition of the workforce reflects the diversity of the city it serves



2.5 Pay and Benefits

We have made substantial progress in implementing consistent pay and gradings across the workforce (except for groups covered by separate national arrangements). The pay and reward system should enable the authority to motivate, recruit, retain and develop people, within the limits of affordability.

What has been achieved?

Harmonisation of conditions of service

Implementation of integrated single status grading/job evaluation scheme replacing separate manual, white collar and nationally graded pay arrangements

Adoption of worklife balance arrangements to enhance our attractiveness as an employer

(ii) priorities for the future

Completing implementation of single status initiative

Implementation of revised pay arrangements for non-standard working hours

Implementation of pay policy for teaching staff within national framework

Consideration of possible arrangements for motivating staff and recognising exceptional employee contributions

Simplifying the administration of the job evaluation scheme



3 Delivery through Annual Service Plans

Details of how these priorities will be achieved will be set out in annual Corporate and Departmental HR plans. These plans will be developed, agreed and monitored, through the Personnel Strategy Group/Strategic Development Group and Chief Officers group.

4 Outcomes

Measurable outcomes that will demonstrate the achievement of the aims of the strategy include:

Our annual citizen satisfaction survey

Our annual Council wide Employee survey

The HR element of our 'Use of Resources' CPA score

Indicators of 'hard to fill' vacancy levels

Retention of Investors in People accreditation

The diversity of the workforce, and of the senior management group

Reductions in sickness absence

Accreditation of members

5 Comments and questions

Details of the action plans to implement this strategy are available from James Brereton/Sue Grist, Business Services Managers, tel: (0117) 92 22225.

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Allegato n. 2

PMDS

1-3

**The performance management &
development scheme for
management tiers 1-3**

v2.0 July 2002



Prepared by

Sally Mitchell & David Young

edt • corporate development team

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Introduction

Challenged to meet the requirements of the local government modernisation agenda, Bristol City Council operates in a continuously changing and ever more demanding business environment. Accountable to the general public, the City Council must deliver best value in providing the services that customers want, to clear standards, whilst at the same time achieving continuous improvement in efficiency, economy and effectiveness. Everyone must be able to focus their attention and contribution on achieving the City Council key priorities to the quality standards that service users require and expect.

Success depends on people knowing what they have to do, and having and applying the required knowledge, skills and attitudes to meet the demands of the business; having the competence to deliver against key business goals. Managing this performance must be recognised as a key process within the organisation, and as a critical responsibility of managers.

Purpose of the scheme

The purpose of the performance management and development scheme is to promote a performance management culture within the City Council. The scheme:

- incorporates a formal performance appraisal process for senior managers at first, second and third tier level
- uses a core management competence framework and 360° feedback.

Scope

The scheme is the City Council's new approach to planning, monitoring, reviewing and improving the performance of people throughout the organisation. It is being introduced during 2000-01 for all first to third tier managers. It will build upon existing competence and appraisal schemes and replace the existing Employee Development Review (EDR) process.

This document

This document:

- introduces the concept of performance management
- specifies how first, second and third tier managers will be appraised against key objectives and performance standards
- shows how the appraisal process contributes to the delivery of the City Council's overall strategies, policies, priorities and objectives
- explains how a core management competence framework and 360° feedback contribute to the performance appraisal process

What is performance management?

Performance management is a structured communication process between an individual job holder and his/her manager which ensures that the efforts of individuals and teams are directed towards the City Council's goals.

This is done by:

- establishing shared understanding of what results have to be achieved
- identifying the skills and behaviours required to achieve these results
- managing people in ways which increase the likelihood that these results will be achieved.

The scheme will provide you, as a job holder, with:

- a clear understanding of your goals
- how best to achieve them
- specific feedback on how you are doing.

You can also expect to be provided with:

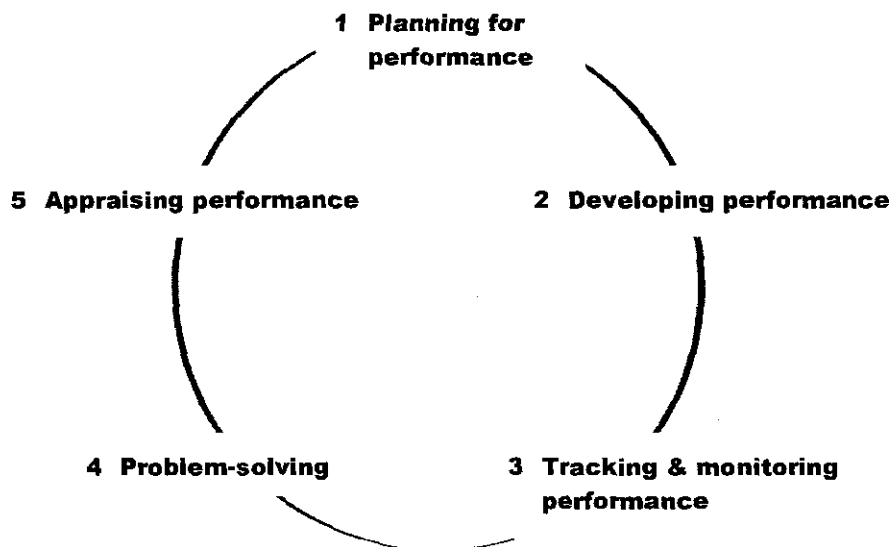
- the required resources and support to carry out your objectives
- opportunities to develop new skills and learning.

How does it work?

Performance management goes beyond appraising performance and simply filling in forms. It is a regular *communication process, undertaken in partnership with your immediate manager. The process consists of five related phases:*

- 1 **Planning for performance**
- 2 **Developing performance**
- 3 **Tracking and monitoring performance**
- 4 **Problem-solving**
- 5 **Appraising performance**

These should be integrated into your everyday work routine, which means that EDR discussions will no longer be an annual exercise. EDR will evolve into a continuous improvement process, which includes regular planning meetings, feedback sessions, coaching, training, problem solving and performance appraisal.



The process is shown in more detail in Figure 1, Pg. 26.

Performance management is about jointly planning with your manager to enhance your performance and your personal job satisfaction. It also provides you with a means of preventing and resolving problems.

By using the scheme you will be able to establish clear expectations and understanding about:

- *The essential job functions you are expected to carry out.*
- *How your job contributes to the goals of the organisation.*
- *What "doing the job well" means in specific, measurable terms.*
- *How your job performance will be measured.*
- *Barriers to your performance and how to identify and remove them.*
- *Learning and development needs and how these will be met.*
- *How you and your manager will work together to sustain, improve or build on your existing performance.*

The scheme includes:

- An individual performance plan, agreed between the job holder and manager(s) of the process*. This contains key objectives and performance measures for the next twelve months. Progress is reviewed at least **twice** during the year. Overall performance is jointly reviewed at the end of the twelve-month period and the job holder's performance is given an overall rating.
- The identification of management competences which are relevant to the job holder's key objectives.
- The opportunity for the job holder to receive 360° feedback on his/her management competence.
- An agreed personal development plan.

Tools for performance management

The scheme provides you with a number of tools to support this ongoing communication process with your manager.

These include:

- An individual performance agreement (available via the City Council intranet) - for recording discussions and actions throughout the process.
- A core management competence framework - to help you identify competences and behaviours relevant to your work role.
- 360° feedback models - to assist you in giving and receiving performance feedback to and from your key work partners.

Plus, to follow:

- Information and questionnaire on working with learning styles - to help you choose and use training and development opportunities most effectively.
- A *Directory of Learning Options* - to help widen your choice of different learning options to meet your needs.

* "Managers of the process" - in the case of the Head of the Paid Service and Chief Officers, this denotes elected members. In all other cases, it denotes the job holder's line manager.

Key roles and responsibilities

Key people involved in the scheme are:

- Job holder
- Manager of the process
- Reviewing manager for the process
- Elected members (for Chief Officers and Heads of Service/Divisional Directors).

Job holder

All employees within the City Council are job holders. These include full-time, part-time and job share staff as well as secondees within the organisation and staff working on projects.

Your responsibilities as a job holder include:

- Taking responsibility for your own performance, and your learning and development.
- Maintaining an up-to-date record of your performance, noting the positives as well as what you could do differently.
- Making a balanced and realistic evaluation of your performance, based on factual evidence.
- Identifying problems in meeting your key objectives and discussing these with your manager.
- Being open and honest about your learning and development needs.
- Completing the actions set out in your performance agreement.

Manager

Within the context of the scheme, the manager is the person responsible for the day-to-day performance of the job holder and therefore best placed to plan, coach, develop and comment upon their performance.

The responsibilities of a manager include:

- Briefing your team on the City Council's scheme:
 - its purpose and how it works
 - your responsibilities and approach
 - what you expect from team members in order to ensure that the process works well.
- Identifying and setting key work objectives with your people, plus appropriate measures of success.
- Understanding the skill and competence requirements which apply to a job holder's work role and using these to help identify development needs.
- Monitoring and reviewing the job holder's progress through both formal and informal review meetings.
- Identifying and discussing problems with the job holder and agreeing actions to resolve these, including appropriate use of the City Council's Improving Performance procedure.
- Giving praise and recognition to the job holder; encouraging him/her to work effectively and to fulfil his/her potential.
- Supporting the job holder by producing and agreeing an individual learning plan and ensuring that identified coaching and development needs are met.
- Ensuring that performance agreements are kept up to date and liaising with the reviewing manager to ensure that the scheme is consistent and effective.

Reviewing manager

The reviewing manager, from the next tier up, ensures that the manager is meeting their responsibilities for managing performance.

The responsibilities of a reviewing manager include:

- Ensuring that the scheme is being used consistently and effectively, resulting in the achievement of *agreed plans and improvements in the performance of the work group*.
- *Identifying and following up any inconsistencies or gaps in the process.*
- Supporting your managers in being adequately prepared and trained to review performance consistently and effectively.
- Signing the performance agreement after the appraisal discussion, once you are satisfied that the process has been balanced and appropriate and that the agreed actions have been delivered.

Elected members

Elected members will plan and appraise the performance of Chief Officers.

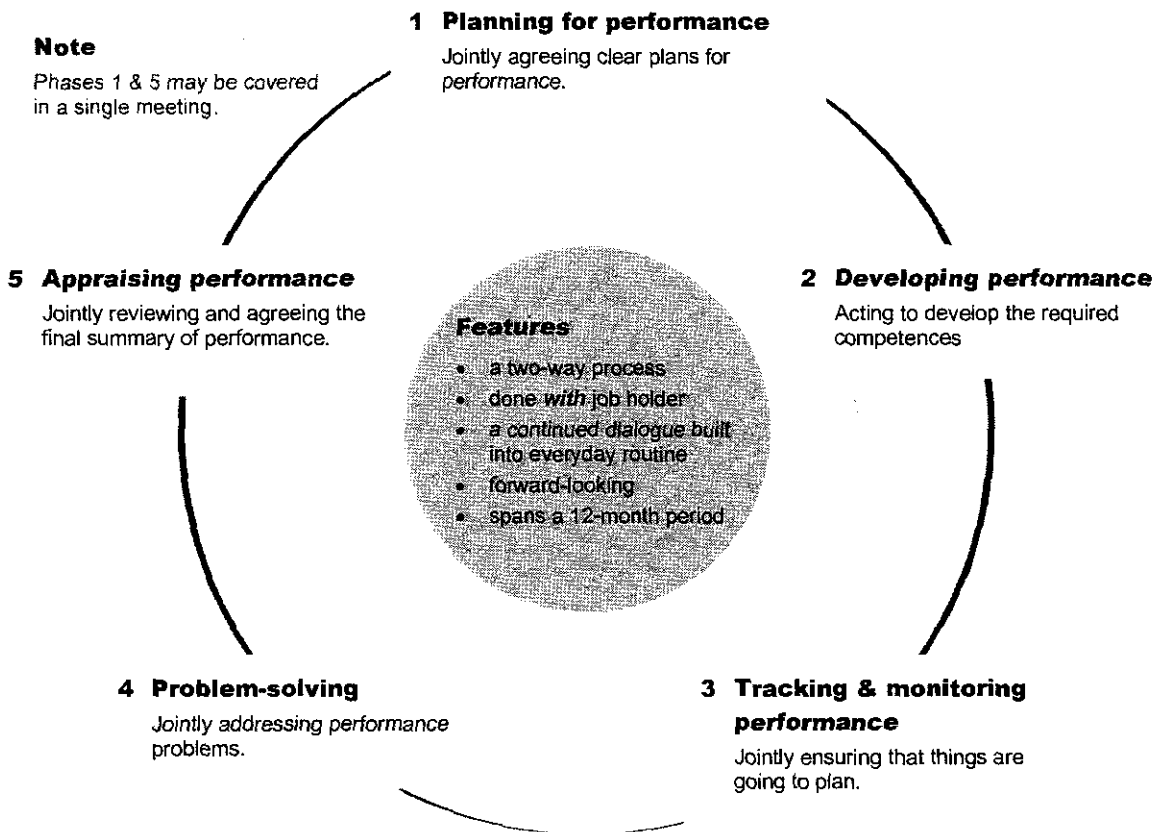
For Heads of Service/Divisional Directors, the appropriate Chief Officer will manage the performance management and development scheme in consultation with the Executive member for the service concerned.

The performance management & development scheme

The scheme consists of five phases:

- 1 Planning for performance
- 2 Developing performance
- 3 Tracking and monitoring performance
- 4 Problem-solving
- 5 Appraising performance

Figure 1. The performance management and development scheme



Phase 1 Planning for performance

Jointly agreeing clear plans for performance

Note

Phases 1 and 5 may be covered in a single meeting.

Purpose

Manager and job holder agree clear plans for performance during the next review period (normally 12 months). Performance, competence and development will be tracked and reviewed against these agreed plans. For **New starters**, see Pg. 30.

The performance planning stage will normally take place in the early part of the Department's planning cycle, when strategic priorities are cascaded down through the organisation.

Phase 1: Planning for performance in the performance agreement is completed.

Process

Preparation - manager

As a manager, you should:

- brief the job holder about the scheme:
 - its benefits
 - any preparatory work that they need to do
 - what to expect at the initial planning meeting
 - what to expect later in the process.
- obtain information and documents (e.g. job description, team and service plans, etc.):
 - which will be useful in linking the job holder's accountabilities to the purposes of the organisation
 - which are relevant to the job holder's performance and planning future performance, including feedback from key work partners, where appropriate
 - from which meaningful and measurable objectives for the job holder can be set.
- remember that objectives should be **SMART**:
 - **S**pecific and stretching
 - **M**easurable
 - **A**chievable, agreed and accepted
 - **R**elevant and resourced
 - **T**imed.

Preparation - job holder

As a job holder, you should:

- use Phase 1 of the performance agreement to help you prepare
- note all the things you want to discuss, even if they are not mentioned on the form.

Performance planning meeting

A one-to one meeting between job holder and manager, lasting 1-2 hours, during which they:

- establish and agree the job holder's principal accountabilities and 4-6 key objectives over the review period, including levels of authority for each objective
- link key objectives clearly to the work of the unit / Department / City Council
- discuss and agree the means by which the successful achievement of key objectives will be measured and agree the performance indicators.

Note

The process is driven by the setting and achieving of key objectives. A job holder's performance is assessed against agreed performance indicators. 360° feedback is not used for assessment. 360° feedback about perceived management competence is used to understand a job holder's performance; it is not used directly to assess that performance.

- Discuss and agree which skills and competences are required in order to achieve key objectives, and how and when these will be measured. For further information, see the sections in this document on:
 - The core management competence framework.
 - Working with 360° feedback. If 360° feedback is to be used, the job holder and manager will need to agree the group of people from whom feedback will be sought and when it will be most appropriate to run the process. In Year 1 it might be useful to do this immediately following the planning meeting.
- Identify key people, including your manager, from whom input is required to achieve key objectives and how this will be obtained.
- Identify issues which may interfere with the achievement of key objectives.
- Agree how you will communicate during the review period in order to:
 - monitor progress
 - anticipate and prevent problems.
- Note your joint agreement to all of the above in **Phase 1: Planning for performance** in the performance agreement.

Principal accountabilities (what needs to be achieved)

- define the continuing core and heart of the role
- flow from the job description and key documents
- focus on outputs and outcomes, not just activities
- are few (4-6) in number
- are effected through specific objectives.

Key objectives (how this will be acted upon)

- link with the ongoing corporate objectives of the City Council, and with specific service objectives for the next 12 months
- are key activities to be undertaken by the job holder during the year
- are issues which the job holder has the appropriate authority to influence and the resources necessary to achieve the desired results - external circumstances that could affect achievement should be taken into account when objectives are set
- are tangible, realistic and time-bound
- are assessable using agreed performance indicators.

Performance indicators (how achievement will be measured)

- enable job holder and manager to assess whether or not an objective has been achieved
- are agreed for each key objective
- relate to results, not efforts
- are capable of being monitored objectively
- are capable of being influenced by the job holder; the performance measured by the indicator should either be within the job holder's control or at least open to significant influence
- are based on available information
- are easy to understand and use.
- are made up of measures of performance and agreed improvements that need to be achieved in respect of these measures.

Some examples of measures:

- **time**
 - ▶ timetable/programme of work
 - ▶ speed of activity or response
- **resources**
 - ▶ maximising income / minimising expenditure
- **quality**
 - ▶ accuracy, quality standards)
- **effect**
 - ▶ "before" and "after" situations
 - ▶ proportion of take-up of a service / facility
 - ▶ changes in behaviour of staff / clients / customers.

Where possible, statutory and local performance measures, including measures from best value improvement plans, should be used.

New starters

In the case of "new starters" (people new to the City Council or employees new to their posts e.g. following promotion) the performance review period will be six months from the date of appointment. The manager will agree a performance plan with the job holder, within the first few days of commencement. Essential training, development and support will need to be agreed and promptly put into place. Reviews of progress will take place at least every two months, with a formal performance review at the end of the six-month probationary period.

The new starter should be clear as to whether or not they have successfully achieved the agreed performance objectives and have therefore successfully completed their probationary period, plus what, if any, further action is required. When a job holder is promoted, similar support should be put into place in order to ensure a successful transition into their new role.

Phase 2 Developing performance

Acquiring knowledge and skills to develop performance

Purpose

Manager and job holder agree learning goals and support needed to achieve key objectives. An individual learning plan is completed and recorded on the performance agreement (Phase 2: Developing performance).

The individual learning plan will be completed during the performance planning meeting or shortly afterwards to ensure that job holders receive appropriate support.

Completing an individual learning plan is only the beginning of the developing phase. Managers and job holders have a shared responsibility to ensure that ongoing coaching or training needed takes place over the 12 month review period and that the impact of learning and development is evaluated against objectives. This should happen as part of the monitoring and appraising phases of performance management.

Process

When completing individual learning plans you need to agree:

- how will the need be met
- when will the need be met
- at what cost
- how will it be evaluated.

It will be also be helpful to be aware of the job holder's preferred learning style in order to help identify the most appropriate learning options for the individual - see the learning styles tool and the *Directory of Learning Options*.

Among the learning options to consider will be:

- coaching
- networking
- mentoring
- setting projects
- delegating responsibilities
- action learning sets
- open and distance learning, on-line learning
- NVQ programmes
- training courses
- secondments
- shadowing

Traditionally, the most popular way of meeting needs is through training courses. Normally the most expensive method, there is also the possibility that a formal course will not fully meet learning needs. Other factors to bear in mind include the impact of the learner's time away from the job and the availability of courses.

As an alternative, consider using normal everyday events as learning opportunities by:

- allowing more time for reflecting, reviewing and discussing what has been learnt as part of everyday work
- seeing the learning opportunities in "mistakes"
- asking more questions
- getting job holders to suggest ideas and explore options for themselves.

On-the-job coaching

On-the-job coaching is increasingly being recognised by managers as a cost-effective method for developing staff. Although the costs of coaching may be difficult to predict, due to the time commitment involved, increasingly research shows that coaching produces significant benefits in terms of learning, increased job satisfaction and improved working relationships between learner and coach. Performance management and coaching can work together extremely well.

Individual coaching styles may vary, however. For the process to be most effective it should be a planned activity.

It involves:

- identifying development opportunities to meet individual needs
- securing commitment and agreement to these
- showing and explaining what needs to be done to develop the learner's knowledge and understanding
- supporting the learner throughout the process, providing encouragement, time and resources to minimise uncertainty when trying out new skills
- reviewing progress during and on completion of learning, recognising and praising achievements and identifying further areas for development.

Phase 3 Tracking and monitoring performance

Ensuring that things are going to plan

Purpose

The performance management cycle opens with planning and closes with appraisal. It is, however, the ongoing communication that goes on between planning and appraisal that makes performance management work most effectively. Activities in the tracking and monitoring performance phase include:

- carrying out formal reviews of the performance agreement and recording these (**Phase 3** in the plan)
- keeping the process dynamic, flexible and responsive
- communicating progress and changes in objectives and job tasks; identifying new or altered priorities
- identifying and solving problems
- giving regular and constructive feedback on how people are doing.

Process

You should agree monitoring methods with the job holder which:

- are not unduly time-consuming
- do not generate unnecessary work
- provide the information required, enabling the understanding which keeps performance on course.

Options include:

- regular informal meetings
- regular brief written progress reports
- informal timely conversations when problems arise.

You should consider combining different methods which will work best in your situation. You will need to schedule two review meetings over the 12 month period in order to track and record progress.

The purpose of these meetings is to:

- review performance and achievements to date
- track original objectives against current priorities and make any necessary changes
- share and discuss feedback on performance and agree and record performance highlights
- when **giving** feedback:
 - agree the facts of what happened
 - agree whether performance is above or below expectations
- when **receiving** feedback:
 - ask questions when you don't understand
 - ask for examples
- look ahead to the remainder of the review period:
 - to agree actions that need to be taken to ensure that objectives are achieved on time
 - to agree any needs for learning and development, or for support to match changing demands.

Phase 4 Problem-solving

Addressing performance problems

Purpose

As part of the scheme manager and job holder will have regular reviews to monitor progress. During these discussions problems may be identified on which they will need to work together.

The purpose of this will be to:

- identify the underlying causes of performance problems
- remove barriers to good performance in order to prevent the recurrence of problems
- help the job holder to improve future performance
- record actions needed to address problems identified (**Phase 4** of the performance agreement).

Process

Performance problems may arise for organisational reasons or for personal reasons. When analysing the situation it is important to have a frank and open discussion to identify causes or potential causes of any problems. Information will be more forthcoming if you ask open, non-judgemental questions and listen to the responses.

To help resolve issues and to secure real commitment avoid imposing solutions and ask the other person for their solutions before discussing the options open to you. Consider also where additional support, coaching or training will help to solve or prevent problems

When problem solving you need to:

- be clear about the standards of performance required by the job holder
- gather any relevant data or information about the problem
- meet the job holder to analyse the problem and explore root causes
- avoid attributing blame and imposing your own solutions
- involve the job holder in identifying potential ways to resolve issues
- work jointly to agree actions which will ensure that standards are met
- ensure that you provide any agreed help or support
- review progress in solving the problem - and perhaps restart the problem-solving process, if necessary.

In cases where joint working between job holder and manager does not solve the problem, the manager is responsible for addressing the problem using other tools, which are available through the City Council's *Improving Performance* procedure.

In line with the *Improving Performance* procedure:

- If a manager considers a job holder's performance unsatisfactory, they should talk to him/her about it and offer support and guidance as part of their normal management role. This may be enough to solve the problem.
- Managers should not use the *Improving Performance* procedure unless they have:
 - discussed their concerns with the job holder, to clarify why he/she has not been performing satisfactorily
 - allowed a reasonable amount of time for the job holder to improve his/her performance and to receive any necessary support or training
 - specified clearly what improvements are required
 - placed on file the outcome of their discussions with the job holder.
- Formal action may be required, and this should be taken in accordance with the *Improving Performance* procedure.
- Appeal rights are set out in the *Improving Performance* procedure. The process for first to third tier managers is as follows:
 - for the Head of Paid Service - to the Cabinet
 - for other Chief Officers - to three members of the Executive, advised by the Head of Paid Service
 - for second tier officers/heads of service - to two Chief Officers and the Executive member for the service area concerned
 - for third tier officers - to two members of the department's management team.
- In the event of dismissal on performance grounds, appeals will be to the member level employee appeals committee.

Phase 5 Appraising performance

Jointly reviewing and finalising the performance summary

Note

Phases 5 and 1 may be covered in a single meeting.

Purpose

Job holder and manager work together jointly to review and finalise the performance summary. In this phase, work performance is formally assessed and evaluated with the aim of improving performance. If all phases in the overall scheme have been worked through effectively there should now be "no surprises".

The appraising performance meeting should be a summary of discussions held throughout the performance management and development period (usually 12 months).

The purpose of the appraising performance meeting is to:

- assess and note progress made towards agreed objectives, making a realistic evaluation of how well the employee has performed during the review period
- discuss and note learning and performance achievement
- discuss and agree how any persisting or additional problems may be overcome
- prepare the foundations for the performance planning stage of the next review period.
- complete **Phase 5** of the performance agreement.

Process

Preparation

The appraising performance meeting should be scheduled towards the end of the Department's planning cycle. Managers should allow at least an hour of uninterrupted time for the discussion and give the job holder at least two weeks' notice of the meeting date.

As a manager you should:

- ensure that the job holder is clear about what will take place during the appraising performance meeting
- brief the job holder about any preparation that is required prior to the meeting
- review the job holder's performance agreement
- collect data, documents and information on the job holder's performance which are relevant to the appraisal discussion
- make an initial assessment of the "highs" and "lows" of the job holder's performance for discussion.

As a job holder you should:

- review your performance management and development plan and conduct a self-evaluation of your actual performance against the objectives set out in the plan
- collect data and information that may help to identify, inform, explain and resolve particular problems and issues.
- provide information received through 360° feedback from your key work partners.

Appraising performance meeting

As the manager, you are responsible for setting the tone and focus of the meeting ensuring that the appraising process is a partnership summarising the ongoing communication during the preceding year. You should focus on the job holder's evaluation of their own performance and include in your discussions any 360° feedback summaries of performance.

You should jointly discuss for the whole review period:

- what has gone well in terms of achieving objectives and the factors that have contributed to successful performance
- what could have been done differently to achieve objectives and the factors that contributed to problems
- what competence strengths have been demonstrated and how these have contributed to achieving results
- how problems have been overcome and how these can be minimised in the future
- what learning and development has been effective and development activities needed for future performance
- what specific actions if any are still required to improve performance.
- agree* an appropriate overall performance rating for the job holder, using these rating criteria:

5 Substantially and consistently exceeded performance expectations.

4 Consistently met performance expectations and exceeded some.

3 Met performance expectations.

2 Did not consistently meet performance expectations - some improvement needed.

1 Did not meet sufficient performance expectations to fulfil job responsibilities - refer to the Improving Performance procedure.

Note

The process is driven by the setting and achieving of key objectives. A job holder's performance is assessed against agreed performance indicators. 360° feedback about perceived management competence is used to understand a job holder's performance; it is not used directly to assess that performance.

At the end of the appraisal discussion, the job holder and manager sign two copies of the performance agreement, indicating their joint agreement on the discussions documented. The completed performance agreement is then passed to the reviewing manager.

The performance planning discussion for the forthcoming twelve months can be held during the same meeting, provided that the job holder and manager have completed the necessary preparation. Alternatively, they may choose to schedule this at a later date.

The Bristol Manager competence framework

Effective job performance is about:

- **what** a job holder achieves - expressed as key objectives with specific, measurable outcomes
- **how** the job is carried out - the behaviours or competences exhibited by the job holder - it is important to ask not just *if* results have been achieved, but also to look at how; the ways and means by which results are reached and the broader impact of a job holder's style of working
- the **factors**, both personal and organisational - such as the availability of required resources, major organisational change - that may influence both what a job holder can achieve, and how effectively they carry this out.

Good practice in performance management needs the job holder and manager to distinguish clearly between:

- the inputs made (competences)
- the outputs required (consequences).

The Bristol Manager (overview)

A Creating value for the service

A1 Sharpening customer and service focus

Is concerned with:

- Ability to understand and serve the department's various client groups.
- Ability to establish and maintain a customer-focused organisation.
- Ability to apply the principles and methods of Marketing to the work of the organisation.

A2 Developing strategy

Is concerned with:

- Ability to generate and implement sound strategies which create value for the service.
- Developing strategy from a clear understanding of the organisation's environment, relevant good practice and innovative thinking.
- Working with stakeholders to create shared vision and mission.
- Translating policies into strategies and achievable programmes of action.

A3 Using resources effectively

Is concerned with:

- Ability to make efficient and effective use of physical and financial resources.
- Ability to understand and work within the City Council's policy and procedures for resource planning and financial management.

A4 Evaluating and improving organisational performance

Is concerned with:

- Ability to agree, develop and implement systems to evaluate organisational performance.
- Ability to use evaluation findings for organisational improvement and development.
- Ability to manage continuous improvement.

B Building productive working relationships

B1 Working competently within the political environment

Is concerned with:

- Ability to work within the political environment, both locally and nationally.
- Ability to use the formal democratic decision-making and reporting process; to recognise the responsibility owed both to the City Council's Executive and Scrutiny mechanisms and to act accordingly.

B2 Working in and developing teams

Is concerned with:

- Ability to be both a good creator of teams and a good team player.
- Ability to make best use of teams in achieving the organisation's objectives: by agreeing team objectives, assessing performance, and developing teams to enhance performance.
- Ability to build co-operative and productive teams whose members feel valued and enabled to work to shared goals and shared results.
- Demonstrating commitment to the City Council's policies and strategies on equalities.

B3 Leading and developing others

Is concerned with:

- Ability to inspire confidence and create trust.
- Ability to provide clarity of vision and purpose and to lead change.
- Ability to motivate, support and involve people.
- Ability to contribute to developing others' performance.
- Ability to enhance people's skills and knowledge through work-based learning and development.

B4 Networking and influencing

Is concerned with:

- Ability to build effective networks within and without the organisation, to seek and exchange information, support and resources.
- Ability to communicate appropriately with external agencies, using formal and informal networks.
- Ability to promote partnerships as a means of shaping and delivering services to the community.
- Ability to contribute fully to partnerships and gain the co-operation of others when not in a formal leadership role.

C Working smartly

C1 Gathering and using information

Is concerned with:

- Ability to identify the information required in specific situations.
- Ability to gather sound information.
- Ability to record and store information.
- Ability to interpret information and derive management knowledge.
- Ability to use information to win support.

C2 Managing projects

Is concerned with:

- Ability to practice sound project management.
- Ability to work with the project team.

C3 Analysing and solving problems

Is concerned with:

- Ability to anticipate and prevent problems.
- Ability to research and analyse problems rigorously and creatively.
- Ability to generate practical solutions.
- Ability to work individually and collectively to tackle problems.
- Ability to make solutions work in practice.

C4 Making sound decisions

Is concerned with:

- Ability to build an evidence base from available information.
- Ability to select the best course of action.
- Ability to act to implement decisions.
- Ability to accept personal responsibility for outcomes.
- Ability to review decisions and learn from experience.

D Integrating equalities

D1 Demonstrating leadership in implementing equalities

Is concerned with:

- Ability to ensure that contributions to the City Council's corporate vision are inclusive and create ownership among employees and service users.
- Ability to demonstrate clear commitment and enthusiasm for organisational values, goals and policies related to equalities.
- Ability to set a personal example of good equalities practice at all times.

D2 Managing equitably

Is concerned with:

- Ability to manage others effectively through recognising, valuing and harnessing individual differences, aspirations and potential.
- Ability to promote and supporting an equitable environment of continuous learning and development.
- Ability to understand the importance of communication in managing employees equitably.

D3 Integrating equalities into service delivery

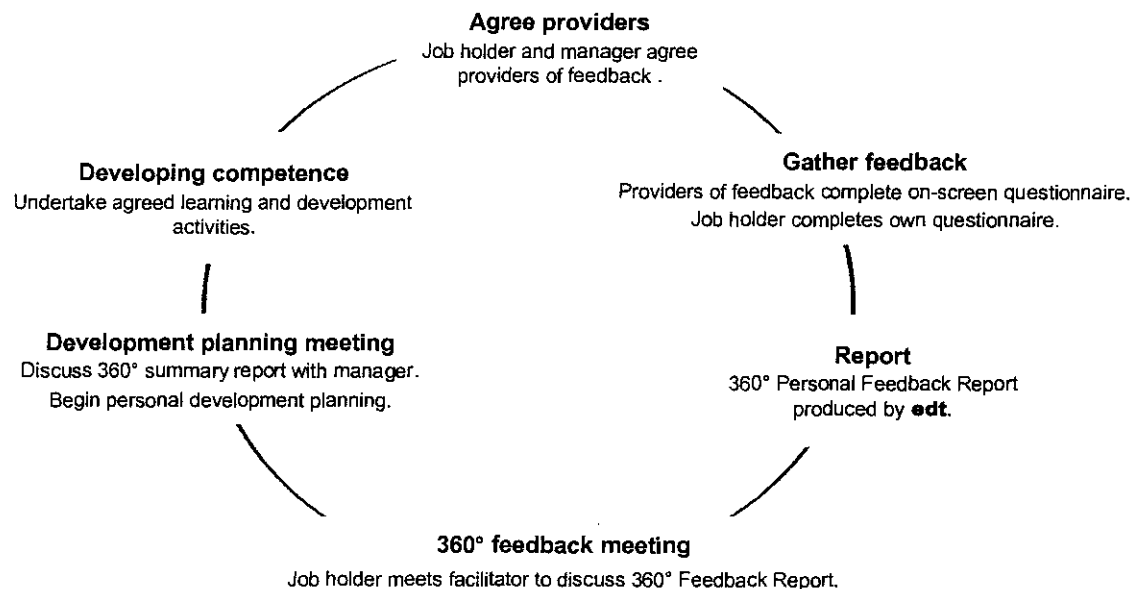
Is concerned with:

- Ability to translate equalities awareness into own service delivery area.

Working with 360° feedback

360° feedback is a confidential questionnaire-based process for gathering and structuring information from a number of sources on an individual's performance in relation to management competence in the workplace. The City Council's corporate Employee Development Team (**edt**) provides a 360° feedback process.

Overview of the 360° feedback process



Who provides feedback?

The 360° feedback process invites perceptions and views from a wide range of relevant people, in order to gain a balanced perspective on your performance. Job holders agree with their manager the selection of people who will provide feedback. In addition to the job holder, the selection will typically include:

- manager
- 3-6 peers (colleagues, within or outside the organisation)
- 3-6 "direct reports" (people directly managed by the job holder).

Those asked should be in a position to assess a large proportion of the competences that they will be asked about. The job holder should also value their opinion - this way, the feedback that they provide will not be discounted.

Providers of feedback are asked to complete an on-screen questionnaire consisting of a set of 40-45 questions about a job holder's managerial performance two quite different things:

- **importance** - how important they consider each competence to be to the job holder's role
- **performance** - how they consider the job holder performs on each competence.

The job holder also completes their own questionnaire.

How is feedback given?

Completed questionnaires are returned by computer network to the City Council's Employee Development Team. Performance ratings are summarised in a 360° Personal Feedback Report (see Fig 2), which indicates possible strengths and areas for improvement. The feedback is discussed with the job holder during a confidential 1-to-1 session with a trained facilitator.

The information gained from this can provide the job holder with an opportunity to take stock, enabling them to identify ways in which they can build on and make use of identified strengths and seek to address areas for further development.

What confidentiality guarantees apply?

Confidentiality is guaranteed in the following ways:

- The job holder does not know which rating were given by which individuals, other than by their own *manager*.
- The job holder is given his/her 360° Personal Feedback Report by a trained facilitator, who will not pass the information that it contains to anyone else.
- The job holder is expected to share the **outcomes** of the 360° process and agree the resulting development plan with his/her manager. Additionally, he/she may also wish to share the **detail** of the 360° Personal Feedback Report with his/her manager.

What happens next?

- The job holder shares the outcomes of the 360° process and agrees the resulting development plan with his/her manager.
- The job holder may choose to share the outcomes with other people who provided feedback, and to share actions that he/she will be taking as a result of the exercise.
- The job holder may also wish to seek others' help to further improve his/her managerial performance through providing further feedback in future.

The valid **interpretation** of 360° feedback is essential to good quality performance appraisal and planning for performance improvement.

It is helpful to remember that...

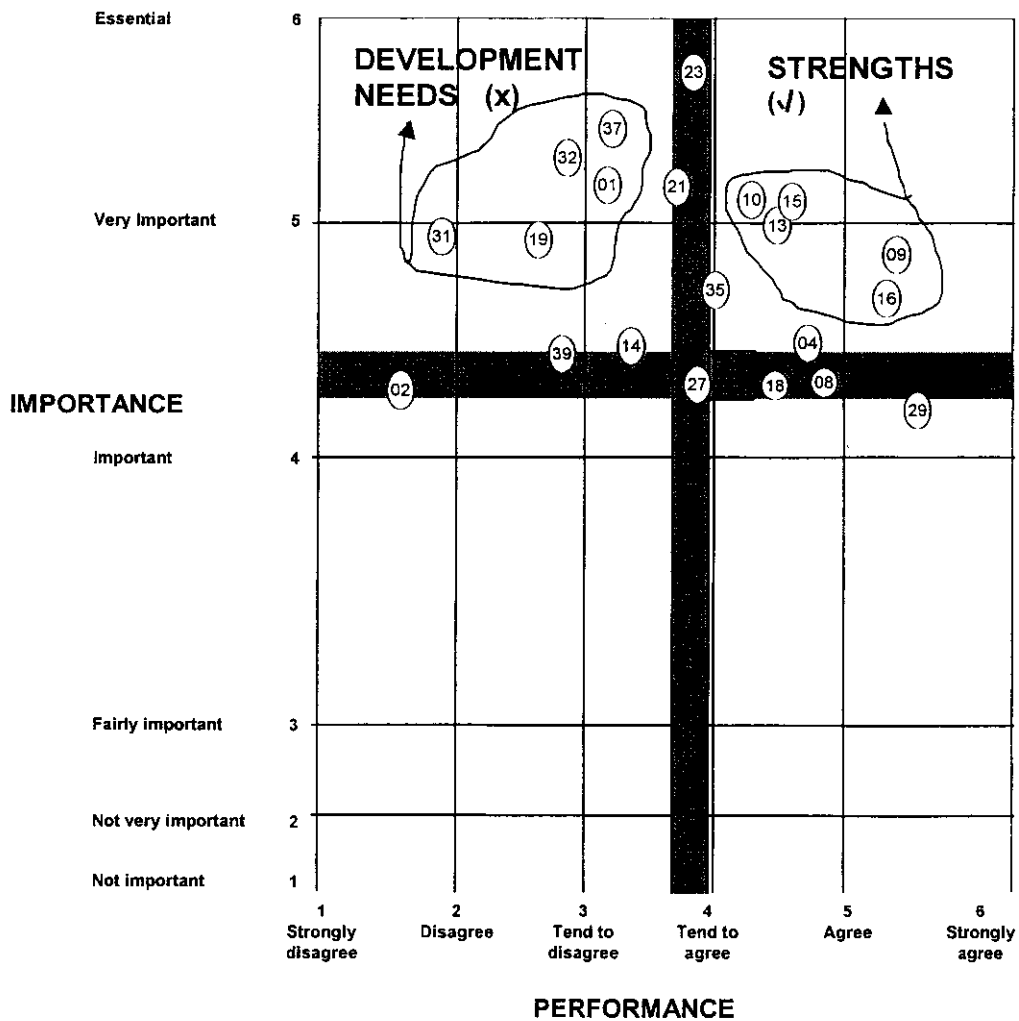
- If you want to perform well and improve your performance at work, nothing is more helpful and useful to you than clear, accurate and intelligently-interpreted feedback.
- 360° feedback deals in **perceptions**, not "objective fact". These perceptions are "out there", and should (a) be known, (b) be interpreted.

360° feedback is a **tool** - like any other tool, its true value in any situation depends on how appropriately and skillfully it is used.

Fig 2. 360° Personal Feedback Report - sample pages

SECTION I : MAP OF BEHAVIOURS

The scattergram below represents the average rating by your direct reports for each of the 50 behaviours. The grey cross is individually positioned according to your direct reports' average ratings. The numbers refer to the individual behaviours which can be found on pages 8-16. Behaviours which show as development needs (page 6), i.e. those with a **High Importance and Low Performance** rating appear in the top left quadrant. It is important also to note the behaviours in the top right quadrant. These were rated **High Importance - High Performance** and should be regarded as strengths (page 5) on which you might build.



SECTION II: KEY ISSUES

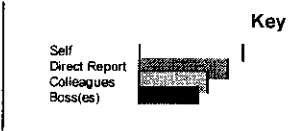
The table below lists items which were related by you or your colleagues as significantly **High Importance and Low Performance**. These are some of the key issues that you may wish to consider in the context of your personal development to improve performance. The cross indicates which source type rated the time as a development need.

DEVELOPMENT NEEDS

High Importance - High Performance	Colleagues' Views			Self	Page Reference
	Direct Report	Colleagues	Boss(es)		
25. lead by example		x		x	10
13. maintain a good network of contacts throughout the business	x				8
22. create a vision of the future which aligns with organisation strategy	x				10
46. display energy and enthusiasm focused on achieving results	x				13
47. deliver quality outputs on time				x	13
37. maintain positive relationships with colleagues				x	11
14. demonstrate technical knowledge and expertise relevant to my role				x	

SECTION III: SUMMARY OF BEHAVIOURAL AREAS

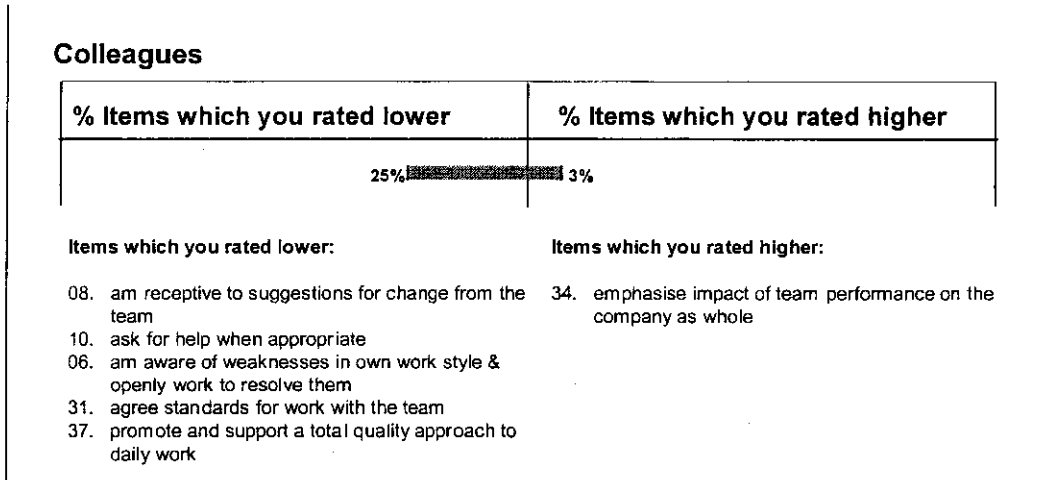
In this section the average ratings given by you and your colleagues for each group are illustrated. Groups which scored higher than average on Importance and also higher than average on Performance (strengths) are marked with a tick in the last column. Groups which scored higher than average on Importance but lower than average on Performance are marked with a cross in the last column. The symbol ▶ indicates that your colleagues expressed a wide range of views



BEHAVIOURAL AREA	Importance		Performance		Key Issues
	Low	High	Low	High	
PROBLEM SOLVING & DECISION MAKING	2.0 5.0 5.1 3.8	▶	3.7 2.7 3.7 3.5	▶	x x
TEAMWORK & COLLABORATION	3.7 4.8 5.1 3.8	▶	4.4 2.7 3.4 2.7	▶	x x
COMMERCIAL AWARENESS & CUSTOMER FOCUS	3.0 4.6 4.6 3.9	▶	4.3 3.0 3.4 3.1	▶	
LEADERSHIP & MANAGING PEOPLE	5.0 4.9 4.8 4.4	▶	5.8 4.7 5.1 4.3	▶	x x x x
INTERPERSONAL SKILLS	5.0 4.8 4.9 4.3	▶	5.5 3.4 3.9 3.8	▶	x x
PLANNING & ORGANISING	5.0 4.7 5.0 4.0	▶	3.9 4.5 4.7 4.6	▶	x x
PERFORMANCE & RESULTS	4.8 4.2 4.2 4.4	▶	5.0 3.8 3.7 4.2	▶	x x

Section V: GAPS IN PERCEPTIONS

The table below highlights the differences in ratings between you and your colleagues. The bars represent the percentage of practices on which your **performance** ratings differed significantly from the performance ratings of your colleagues. On the left, the bar represents practices which you rated lower than your colleagues. On the right the bar represents practices which you rated higher than your colleagues. The items listed each side are some of those that contribute most to the gaps in perception.



Allegato n. 3

Recruitment and Selection Policy Principles and Procedures

January 2001



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1. Policy statement

Bristol City Council recognises that the effective and efficient recruitment and selection of appropriately skilled and competent employees is essential to meeting its aim of delivering effective services to the public. The decisions that managers make when recruiting and selecting staff are amongst the most important they will make.

2. Principles

2.1 Equality of opportunity

- (a) Appointment of applicants to all posts in Bristol City Council will be on merit, and will be based on selecting the best person for the job against objective job related criteria, irrespective of race, disability, sexuality, age, nationality, religion, gender or marital status.
- (b) The council is committed to a policy of equal opportunity for all sections of the community, with the goal of having a workforce that more closely reflects the composition of the population of Bristol. Lack of access to jobs can be a barrier to equality.
- (c) All prospective applicants will receive a standard set of information relating to the advertised vacancy. This will be made available in a variety of ways on request to ensure that Disabled people or those from Black and other minority ethnic groups have equality of access.
- (d) All those involved in recruitment and selection must comply with this policy and follow the associated procedures. When implementing this policy it is essential to read "Guidelines to Recruitment and Selection" - copies are available from personnel sections and on the Intranet under "Recruitment and Selection".

2.2 Accountability

- (a) It is the responsibility of Heads of Services to ensure that recruitment and selection within their division are carried out in accordance with council policy and legislation. Further information on the relevant legislation can be found in the Guidelines to Recruitment and Selection.
- (b) The Recruiting Manager is responsible for ensuring that the process for each vacancy is carried out in accordance with the provisions of this policy.

2.3 Competence of officers involved in recruitment and selection

- (a) It is the responsibility of senior officers who appoint recruiting officers to ensure that all are appropriately trained and competent to carry out these duties. Managers/supervisors cannot participate in the interviewing process if they have not received the prescribed training. (See Guideline).
- (b) Officers involved in recruitment and selection activities must be competent to undertake these duties. If skills are not up to date, refresher courses are available regularly.

2.4 Data Protection

- (a) Under the terms of the Data Protection Act 1998 the information provided will be held in confidence and used for the purposes of Recruitment and Selection and Personnel Administration and no other purpose. All employees and other participants in the recruitment process are under a legal obligation not to use or disclose any personal information that comes into their possession in the course of their duties, in any unauthorised manner.
- (b) Also under the Act the information held on an individual, for example interview notes and any information used in a reference, must be accurate, relevant and not in excess in relation to the purpose for which it is being used.

3. Procedures for recruitment and selection

The stages of the recruitment and selection process are:

PREPARING FOR RECRUITMENT

3.1 Reviewing the vacancy

- (a) A recruiting manager should be identified to oversee the recruitment and selection process through all the stages.
- (b) The recruiting manager should check that the duties and responsibilities contained in the job description are still appropriate. Do they need to be amended to reflect current requirements more closely?
- (c) If it is an existing post, a vacancy offers the opportunity to review the needs of the section and ensure that the most appropriate arrangements are made to do the work. If a job description is amended:
 - consultation procedures must be followed
 - care must be taken with generic posts or a post in multiple occupation to see if any amendments apply to all. If they do, all postholders will need to be consulted and the revised job description and any change in grade applied to all.
- (d) All posts should be evaluated under the appropriate scheme prior to advertising.
- (e) The manager should send the following to the personnel section:
 - job description
 - employee specification
 - advert
 - completed recruitment instruction.

3.2 Job descriptions and employee specifications

Job descriptions and the shortlisting criteria in employee specifications will be written so that there are no in-built barriers to any group(s). For example, requiring a driving licence when the job requires mobility between different work places may disadvantage some disabled people and other groups who could use other methods of travel. Criteria must be directly related to the job description and employee specification. All requirements must comply with current legislation (see Guidelines to Recruitment and Selection).

3.3 Consultation

Where recruitment is as a result of restructuring or realignment, appropriate consultation procedures must be followed. (See Managing Change Policy and Procedure.)

3.4 Matching

- (a) Current employment legislation (Employment Relations Act and Disability Discrimination Act) plus the Council's own policies (Managing Change and Sickness Absence) require that we help to seek suitable alternative employment for employees at risk of redundancy, or dismissal on capability/medical grounds.
- (b) When the personnel section receives the recruitment documentation, the vacancy details and the appropriate matching form are sent to the Corporate Employee Relations team for matching against details of employees eligible for redeployment.
- (c) The Corporate Employee Relations team will advise the personnel section that the post may be advertised if no employees match the vacancy's essential criteria.
- (d) When a redeployee is matched to a vacancy, the recruiting manager will be notified that advertising for the post is on hold until the outcome of the priority candidate's interview is known. The recruiting manager needs to arrange an interview date for the priority candidate.
- (e) All interview and selection procedures need to be consistent for priority and non-priority candidates. The exception to this requirement is that priority candidates should be judged at shortlisting and interview stages against only the essential criteria and not against any other candidate, unless there is more than one applicant with equal priority status. Also, there needs to be a degree of flexibility when considering whether to appoint a priority candidate.
- (f) The Managing Change policy requires that a candidate be appointed where the recruiting officer is satisfied that, with a reasonable investment in training, the priority candidate will be able to meet the essential criteria of the job within a reasonable timescale. Advice on the interpretation of "reasonableness" can be obtained from the Employee Relations Team. Further information is also available from the document: Priority Candidates - Guidance for Recruiting Managers.
- (g) When considering the suitability of a disabled person who qualifies under the Disability Discrimination Act and who is a priority candidate, you must bear in mind the legal requirement to make "reasonable adjustments".

3.5 New Deal

The line manager, in discussion with the Departmental Personnel Officer, should consider whether the vacancy may be suitable for a New Deal candidate (unemployed, returner to labour market). If so, the manager should contact the New Deal Officer, or Personnel Officer. The job will be advertised first through the Employment Services New Deal Advisers and Disability Agencies. If no suitable New Deal candidate is forthcoming, the job will be advertised in the normal way. Please see the New Deal Managers' Guide.

3.6 Advertising the post (and exceptions to the rules)

- (a) Vacancies will usually be advertised externally and internally simultaneously unless: the post is ringfenced for potentially displaced employees; the council is restructuring and seeking to avoid redundancies at a later stage; the job is being offered first to a redeployee or a New Deal applicant; the vacancy is being covered by a secondment or acting up opportunity; or where the Department operates a reserve list (see points e & f below).
- (b) Secondment or acting-up opportunities lasting less than three months may be used as a staff development opportunity and staff can be directly nominated for these. (See *Managing Change Policy and Procedure*.)
- (c) Secondments and acting-ups in excess of three months must be advertised internally except in exceptional circumstances, when following discussion with the trade unions secondments used for development opportunities may be extended up to six months.
- (d) It is advisable to state if a post is politically restricted or whether other restrictions apply, for example a Genuine Occupational Qualification (see *Guidelines for Recruitment & Selection*). It must be clearly stated in the advertisement if the job has been determined as unsuitable for job share.
- (e) When a vacancy occurs within 3 months of the same or an identical one being filled, a previously unsuccessful candidate can be appointed without re-advertisement (subject to the necessary health and criminal records checks) so long as they were considered the next best candidate available and there is no suitable redeployment candidate for the post.
- (f) In certain circumstances and after appropriate union and applicant consultation, candidates may be kept on a reserve list for up to one year. A reserve list would normally be created for posts where there are a large number of identical posts and where there is a rapid turnover in these posts. Appointments to the list must be made in accordance with the recruitment and selection procedures.
- (g) Offering an informal discussion prior to application for the job can benefit job seekers by giving them more detailed information about the job in question. However, care should be taken that any prior knowledge of a candidate does not prejudice the selection process.
- (h) The personnel section will set up the appropriate systems for recording and monitoring the recruitment and selection process. As part of this process all applicants must be informed of the Council's Complaints Procedure, allowing them to take action if they were unhappy with how the recruitment and selection process was carried out.

3.7 Positive Action

It is the Council's policy that the best candidate will be chosen for the post regardless of race, gender, disability, sexuality, age, nationality, religion or marital status. The Council's policy also embraces provision for positive action wherever this is appropriate. Initiatives that adopt measures which help to ensure an equitable balance on the basis of race or sex (in accordance with the "under-represented in the workgroup" provisions of the Race Relations Act and Sex Discrimination Act) are appropriate. Positive action can take a number of forms within the recruitment process including:

- (a) Examining the choice of media to be used and targeting adverts at publications which may attract readership from persons from black and minority ethnic groups;
- (b) Participating in Council run recruitment fairs which are community based within Bristol;
- (c) Considering where information should be available to candidates in languages other than English;
- (d) Creating positive action traineeships where these are appropriate.

UNDERTAKING SELECTION

3.8 Selection panels

- (a) The Chair of the panel, usually the recruiting manager nominated by the senior officer, is responsible for ensuring that all procedures and arrangements for the whole of the selection process comply with relevant policy provisions and legislation.
- (b) A panel must always endeavour to be balanced in respect of gender and wherever practicable should be balanced in respect of race. If the post is exempt under the Sex Discrimination Act, the panel can be single gender.
- (c) If there is a need for a gender representative, a Personnel representative can be invited to participate on the panel.
- (d) Panel members must declare any interest in/personal knowledge of a candidate. The Chair should judge the appropriateness of that member remaining on the panel.

3.9 Panel composition

- (a) Formal interview panels must consist of a minimum of two officers. Informal or pre-selection interviews held as part of the "testing" process may require other formats.
- (b) In some circumstances managers may wish representatives of service users or specialist advisers (internal or external) to participate on panels. These representatives or advisers must be fully briefed on both the Council's Recruitment and Selection and Integrated Equalities Policies and their role on the panel. They must be made aware of the strictly confidential nature of the procedure and will be asked to sign a declaration regarding confidentiality. They may participate in questioning and discussion but may not participate in the decision making.

In the case of jointly funded posts between Bristol City Council and other partners, panel members may be drawn from external agencies, in which case those members would have voting rights.

- (c) Managers may wish Personnel representatives to participate on selection panels where additional expertise would be helpful, especially with regard to equalities issues. Personnel representatives will normally attend where there are issues of displacement/redeployment

3.10 First/second tier appointment panels

- (a) Appointments at 1st and 2nd tier level are undertaken by Members through Selection Committees, assisted by the Chief Officer for the Department concerned or by the Head of Paid Service in the case of a Chief Officer appointment. The Head of Strategic and Resource Planning or other nominated Officer will provide support with personnel policies and procedures.
- (b) The Chief Officer and Head of Strategic and Resource Planning will provide advice to members prior to selection on testing methods which may assist the selection process. Please see Appendix A for details of the process.

3.11 Shortlisting

- (a) To assist in ensuring that applicants are shortlisted solely against the criteria contained in the employee specification, the corporate application form must be used with personal details contained on a tear-off sheet. To ensure confidentiality of equalities information, and that shortlisting takes place against selection criteria only, the personal details sheet must be detached from the application form prior to shortlisting. An applicant number will identify applicants. Panel members are given the names prior to the interviews.
- (b) It states clearly on the application form that CVs will not be accepted, and they must not be sent to the shortlisting panel. However, additional information in CV format may be accepted where this supplements the information on the application form providing this does not contain any information relating to race, religion, gender, age or whether the applicant is lesbian, gay, bisexual or transgender.
- (c) Recruitment files for each member of the panel will be forwarded to the recruiting manager and will contain shortlisting documents, the job description, employee specification, advert and all application forms received.
- (d) The recruiting manager will arrange for the shortlisting of applicants by a minimum of two officers. Each panel member should produce a shortlist independent of the other panel members. The panel should then meet to produce the final shortlist.
- (e) Shortlisting of candidates for first and second tier posts will be by a selection committee of members.
- (f) Applicants must be shortlisted solely against the criteria contained in the employee specification on the basis of the information contained in the application form. Shortlisting officers should not make judgements about a disabled person's ability to do the job except on the basis of the knowledge, skills, experience and qualifications indicated.
- (g) There must be no discrimination against job share applicants. Full time applicants must not be given preference over a job share applicant.
- (h) Disabled applicants who meet all the essential criteria must be offered an interview, even if other criteria (ie desirable or advantageous) are used for non-disabled candidates.

- (i) Only applicants who meet all the essential criteria should be shortlisted. However, when those shortlisted are too many to interview, then desirable and advantageous criteria will be considered to produce a reasonable number of applicants to interview.
- (j) A Bristol City Council councillor cannot be appointed as an employee of any kind when they are an elected member of this Authority or for a period of twelve months immediately following their period of elected office with this Authority.
- (k) A person in receipt of a local government pension shall not normally be eligible for employment with this Authority. In the vast majority of cases, except where stepping down procedures may apply (re teachers), persons who are already in receipt of an occupational pension administered in accordance with the Local Government Pension Scheme will not be eligible for any kind of employment with the City Council. In certain exceptional circumstances however, where, following a formal recruitment and selection process, recruitment market conditions indicate that due to skills shortages no other suitable qualified persons can be appointed, such persons may be employed subject to the approval of the relevant Service Director or their nominated deputy.
- (l) It is acceptable for only one person to be shortlisted if they are the sole individual to meet all the requirements. A review of the specification may be needed if only a small number of applicants meet its requirements.
- (m) Clear notes must be kept about each application at shortlisting stage to enable a quick and full response to enquiries. These notes must remain with the file and be used for any feedback requested by the applicant.

3.12 Preparing for the interview/assessment process

- (a) The recruiting manager will convene the panel to:

- decide the activities of the selection exercise eg interviews, occupational tests, presentation, group discussion, psychometric testing and their relative weight compared with the interview
- decide the format of the interview
- devise and allocate questions.

The panel may also wish to consider the merits of a two stage selection process, where a small number of candidates are drawn from the initial round of interviews to be further assessed by a different panel. This can assist in securing the best possible candidate for a particular job.

- (b) Information from the application form, tests and interview questions should enable measurement against the criteria on the employee specification.
- (c) When the format for selection has been determined, the recruiting manager must inform the personnel section or other administrators of:
 - who is shortlisted (by returning the shortlisting files)
 - the date and times of the interview and where the interviews are to take place
 - if any applicants may have special needs for their interview that they are aware of

- the format of the selection process (ie: 1 or 2 stage selection), also whether there will be a tour for the candidates
 - information about any tests that will occur and what equipment/rooms will be needed for such tests to be undertaken
 - any information that candidates will need to know about the tests prior to interview (for example information about presentation topics)
 - whether forms for criminal records checks need to be sent.
- (d) The personnel section or other administrators will:
- invite candidates for interview/selection event
 - inform candidates of any test/assessment that will be required
 - send for references for each candidate selected for interview
 - prepare interview files containing:
 - schedule of interviews (with names of candidates)
 - job description
 - employee specification
 - advert
 - application forms
 - candidate assessment form
 - interviewer's notes forms
 - appointment sheet
 - arrange rooms for interviews, testing and waiting (if requested).
- (e) Wherever possible interview locations should be accessible to all candidates, which means that a disabled candidate should be able to gain entry and move around without assistance. Appropriate car parking for disabled candidates should be arranged in advance. Further information is available in the "Accessible Meetings and Information Booklet", available from the Equalities Unit.
- (f) When invited for interview all short listed applicants must be invited to state their access needs (such as a signer, a friend to be present at interview, a preferred type of seating, somewhere for their Guide Dog etc) in the letter inviting them to interview. Make sure you have left enough time between short listing and interviewing to be able to make arrangements as needed. Contact the Equalities Officer (Disability) or your Human Resources Manager if you are unsure of how to meet access needs. All candidates should be asked about their access needs, as some may not have declared a disability on their application form for fear of discrimination.
- (g) Selection tests must be administered and marked by appropriately qualified officers and the results passed to the selection panel.

3.13 Testing

- (a) It is strongly recommended that the selection by interview process is strengthened through the use of additional selection methods, including tests where appropriate, particularly for senior and specialist posts across the Authority. These tests should relate to essential criteria from which relevant competencies should be derived.
- (b) A variety of testing methods are available, which include:
- a written test
 - an in-tray exercise ie an exercise where candidates prioritise and show how they would tackle typical work examples required by the role, within a limited time period
 - practical tests using a piece(s) of equipment
 - a presentation to the panel
 - a group discussion
 - general ability test

You should identify which of the criteria are being tested by these techniques and decide the weight that will be attached to them compared to the interview. Please note that advice is available either from Departmental Personnel teams or from the Employee Development team in Central Support Services.

- (c) Tests must relate to the skills required for the job. They must not be discriminatory in terms of race, gender or disability.
- (d) When offered an interview, candidates should be told of any tests they will be required to take.
- (e) Psychometric testing should only be administered by suitably qualified officers.
- (f) Tests should take into account that tasks/problem solving etc, may be tackled differently by individuals. For example, disabled people may complete a task using special equipment or using a different approach. Generally speaking, achievement of the task is the important thing rather than the method.

3.14 Interviewing

- (a) Interviews allow the organisation to gain further information about candidates and also allow the candidates to gain information about the job and the organisation.
- (b) At the beginning of an interview the Chair of the panel should check with all candidates that their access needs have been met. All interviews should be held in accessible venues.
- (c) Interviews should be consistent, and all candidates should be asked the same core questions relating to the criteria on the employee specification. Supplementary questions may be asked to draw out information if necessary, although they should still relate to the criteria on the specification. You may need to probe further or clarify the question by asking it in a different way if the candidate has not understood the original question.
- (d) A job share applicant, with or without a partner, is to be interviewed and assessed based on his/her individual suitability for the post.

- (e) Questions based upon information given in the application form will need to be tailored to each individual candidate.
- (f) This type of structured interview ensures that the same area is covered with each candidate, is roughly the same length, that each candidate is treated with equal fairness and that you can compare candidates on the same information. However, avoid being too rigid in adhering to a structure - candidates should be given the opportunity to demonstrate their suitability.
- (g) After a disabled candidate has answered the questions you may still feel there is a substantial part of the job which the disabled person would not be able to do on account of their impairment. You may need to discuss with the disabled candidate what adjustments would be required for them to undertake the full requirements of that job. All possible options must be considered, for example:
- reallocation of duties
 - purchasing aids and equipment
 - access improvements
 - support workers
 - transport
 - employing interpreters or
 - other reasonable adjustments in the workplace.
- (h) The Disability Discrimination Act 1995 does not prohibit asking a person about a disability either before or during employment, but questions should be handled in a sensitive manner and this information should not be used to discriminate against a disabled applicant. Decisions as to a candidate's suitability should be based on objective information and not on assumptions or perceived stereotypes. If you have any concerns please contact the Equalities Officer (Disability).
- (i) There is an access fund from Employment Services (Access to Work Scheme) available to cover the full costs of making reasonable adjustments. This includes improving access to premises, support workers, interpreters and equipment. The Disability Services Team (Access to Work), based at Job Centres, must be contacted within six weeks of the disabled employee taking up the post in order to qualify for a full grant. Employment Services (Access to Work) will pay up to 80% of such costs above the first £300, if the application is made after an employee has been in employment longer than 6 weeks.
- (j) Where the post involves access to children or vulnerable adults, references are provided to the panel so that any queries regarding these may be discussed at interview.
- (k) Offer candidates the opportunity to ask questions at the end of the interview. Let them know how they will be informed of the outcome of the interview, and inform them that feedback will be available, if requested, from a nominated member of the panel. Information given for feedback should relate to the skills required for the job and where the candidate fell short.

- (l) Questions may be asked about a candidate's sickness record, although it should be remembered that extrapolations from past history are not always correct. For example, if an employee has had three months absence due to a stress-related illness, the cause of that stress may no longer be applicable. Similarly, some major health conditions are dealt with permanently by an operation and may not cause future problems. It is also important to check if sickness absence is related to an impairment. Time off due to an impairment can be considered a reasonable adjustment.
- (m) Do not ask questions about family responsibilities, Trade Union activity, sexuality, gender or ethnic origin, marital status, political or religious beliefs (unless the candidate raises an issue, for example, by asking about child care arrangements or facilities for praying in the workplace). Spent convictions are to be disregarded unless the post is exempt from the provisions of the Rehabilitation of Offenders Act. (See Guidance Notes)
- (n) If a disabled person has requested in their application that consideration be given to an element of job redesign which would overcome a disabling barrier to their application, the matter must be fully considered.
- (o) If a job requires special working arrangements such as regular overtime or unsocial hours, you can ask candidates if they can meet these requirements, so long as you ask all candidates.
- (p) External candidates who would need to relocate to the Bristol area to take up the post, must be made aware of their eligibility for relocation expenses. (Refer to the Relocation Policy)
- (q) A record should be kept of the questions asked of each candidate, and the evidence of how their answers meet the criteria.

3.15 Selecting

- (a) Selection methods will be fair and related to the requirements of the advertised job. The manager will have discretion in deciding appropriate job related tests. Where selection testing/assessment tools are used, they must not be discriminatory in terms of race, gender or disability.
- (b) Selection is probably the most expensive and important process a manager can undertake and it is worth ensuring that selection exercises are sufficiently robust to select the most appropriate candidates.
- (c) Candidates will be selected against the criteria on the employee specification, using appropriate methods, including interview, tests, presentations and psychometric testing. Disabled people must be allowed to demonstrate their ability fully and may do this in a different way to other candidates.
- (d) Take care to ensure any tasks given as part of the interview are accessible to all candidates eg asking candidates to complete a case study in writing at interview would be inaccessible to people with a visual impairment who may need specific computer equipment to write their response.
- (e) The panel will record their views separately on the Candidate Assessment Form, without conferring or comparing applicants to each other. Managers should not make assumptions based on a person's impairment or the person's ability to undertake work. This would contravene the Disability Discrimination Act.

financial support).

- (i) A panel's decision on an appointment and reasons for it will be recorded on one of the Candidate Assessment Forms (usually the Chair's) and all panel members will sign it. In the case of Committee appointments the Candidate Assessment Form will be signed by the Chair and Senior officer attending.
- (j) All panel members will sign one Candidate Assessment Form for each of the unsuccessful candidates. In the case of Committee appointments the Candidate Assessment Form will be signed by the Chair and senior officer attending.
- (k) The Chair of the panel is accountable for ensuring that all documentation is completed and that the recruitment file is returned to the personnel section promptly, including starting details such as start date, starting salary etc.
- (l) Feedback must be given to candidates if requested. This is particularly relevant to under-represented groups such as disabled people. Managers should refer people to the Disability Services Team (based at Job Centres) if they require further advice.

3.16 References

- (a) References and qualifications must be checked at all times, particularly where the job involves a risk of fraudulent or corrupt activity. Personnel Officers should be charged with monitoring that references have been received and checked.
- (b) To verify the origins of a reference, reference request forms, where used, should have a space where the company stamp or other identifier can be placed. The form must also have a space for the name (printed) and signature of the referee. A place for the referee's telephone number would also be useful when verification of the reference source was required.
- (c) Where the position is responsible for cash or particular degrees of trust or where there is a greater potential for fraud or corruption, managers must draft specific letters or amend the pro forma to address these issues. The British Standard - Code of Practice for security screening, available from Internal Audit, provides further guidance on obtaining references for such positions.
- (d) Additional clarification may be sought from referees in cases of doubt. If a candidate is not appointed because of the bad reference or criminal conviction, this must be recorded.
- (e) Requests for references should be sent when the applicant is invited for interview. The

application form states that this is the procedure, and that if applicants do not want references sought at this stage they should put this in writing with an explanation.

However, where posts involve access to children or vulnerable adults, references must be taken up prior to interview so that they are available for the panel to see and to clarify or follow up any points which may arise from the reference.

- (f) Referees should be sent a copy of the job description and employee specification and a pro forma for the reference where appropriate.
- (g) The Council operates an Open Reference Policy for its own employees, who are entitled to see the contents of references written about them. With regard to references requested from third parties, the Council recognises that the provisions of the Data Protection Act 1998 mean that such references can be requested on either:
 - an open basis (ie the referee will be advised that the content of the reference may be shared with the job applicants) or
 - a confidential basis, in which event the reference will not be shared with the individual concerned.

In the latter instance, in accordance with the Data Protection Act 1998, this reference will be removed should an employee request access to their personal file. (See References Policy).

- (h) It is not appropriate to offer appointments “subject to satisfactory references”, as the withdrawal of an offer following receipt of an adverse reference places the referee in a very difficult position. This problem may be further exacerbated if the referee concerned is also the current employer.
- (i) References should be in writing. Occasionally you may have to ask for a verbal reference. If this happens, make comprehensive notes and ask for it to be followed up in writing. If the referee is not going to supply a reference in writing, put your notes in writing to them as a confirmation of the verbal reference.
- (j) The panel may want to pursue further details contained in the reference or ask the candidate for explanations of issues.
- (k) It is important to remember that references may be subjective and should confirm the panel's decision, not make it for them.

3.17 Offering the post

- (a) The post will be offered to the most suitable candidate(s) following completion of the necessary checks, and it is the responsibility of the recruiting manager to ensure that these are carried out.
- (b) When offering the post to an applicant seeking job share, refer to the Job Share Policy.
- (c) Verbal offers of a job are as legally binding as written ones - make sure that checks are carried out prior to offering the job.
- (d) Offers of employment may not be made until checks have been completed on references.
- (e) Offers may be conditional upon the following checks, but employment should not commence until all checks are completed:
 - necessary criminal records check
 - Protection of Children Act List - check
 - checks on health
 - checks on the right to work
 - qualifications proving satisfactory (this may occur within one month of starting employment).

Offer letters must clearly state what the offer of employment is conditional upon, for example criminal records checks, health check, proof of right to work in this country.

- (f) If appropriate checks are satisfactory, the offer letter and statement of terms and conditions can be sent with an indication of any time scale within which the job should be accepted or rejected. The documents sent out must be checked by the Department Personnel Officer.
- (g) Appointees must accept the post in writing before any other action is taken or business information divulged.
- (h) Probationary periods apply for all new employees, except employees from other Local Authorities who need not complete a probationary period. Employees being redeployed on the grounds of redundancy have a four week trial period which allows them time to determine if the offer of alternative employment is suitable. Managers should note that a disabled person's performance may be limited until equipment and assistance are received from Access to Work. This period of reduced performance should not be taken into account at the six month interview which concludes the probationary period.
- (i) Where employees transfer from other local authorities, it is anticipated that they will have exhausted their leave entitlement within the authority they are leaving. Transfers of annual leave will only be allowed at the discretion of the employing manager.
- (j) Candidates transferring from other local authorities should be aware that their contracts should run consecutively to ensure continuity of service, otherwise they may risk a break in service.
- (k) Confirm external candidates' eligibility for relocation expenses.
- (l) New employees must be advised in writing at the time of appointment that payroll information is normally kept confidential and used only for the purpose of processing payroll payments. However, the Council is under a duty to protect the public funds it administers and to this end may use payroll information within the Authority for the prevention and detection of fraud. It may also share this information with other bodies administering public funds solely for these purposes.
- (m) Candidates will be informed in writing if they are unsuccessful at interview and may request feedback from the recruiting manager or nominated member of the panel.

POST SELECTION REQUIREMENTS

The following sections deal with the checks that are necessary prior to an employee taking up a post.

3.18 Medicals

- (a) Medical questionnaires must be sent to all external short-listed candidates, and should be completed and brought to the interview, sealed in the envelope provided. The successful candidate's questionnaire must remain in the sealed envelope and sent to Occupational Health and Welfare Services unopened, with the individual's name written on the outside. All others are destroyed unread. All information on the questionnaire is confidential and these forms must not be faxed to Occupational Health & Welfare Services.
- (b) In some cases, a medical questionnaire may be appropriate for internal candidates as well, where the nature of the job applied for varies from that currently undertaken.

3.19 Criminal Records, Protection of Children Act 199 (PoCA) and disqualification order checks

- (a) Candidates being considered for certain types of posts need to have specific background checks done on them before employment can commence.
- (b) Candidates being considered for a “regulated position” (definition below) must be checked for their suitability to work with children and young people through:
 - a Department of Health PoCA List check. This list includes people deemed unsuitable to work with children including banned teachers, sex offenders and others,
 - a criminal records check through Avon & Somerset Police
 - disqualification order declaration/check

Note: When the new National Criminal Records Bureau is established, all of the above checks will be able to be done at once through the CRB's one stop shop, called the Disclosure Service. Until the Disclosure Service is operating, disqualification order checks are not possible. At present, we need to rely solely on candidates declaring a disqualification order on their application form or criminal records check form.

- (c) The Criminal Justice & Court Services Act 2000 defines a ‘regulated position’ as:
 - All members of staff who work in an establishment exclusively or mainly for children
 - A position whose normal duties include work on day care premises when children are present
 - A position whose normal duties include caring for, training, supervising or being in sole charge of children
 - Any position whose normal duties involve unsupervised contact with children under arrangements made by a responsible person (for example a mini cab firm whose drivers are employed to transport children on a regular basis)
 - A position whose duties include caring for, supervising, or training children, under the age of 16, in the course of the children’s employment
 - A position whose normal duties include supervising or managing an individual in his/her work in a regulated position
 - Individuals who, by the virtue of the authority and responsibility inherent in the posts they hold, might be expected to be positively suitable to work with children (for example, children’s charity trustees or specific social services or education functions).

The people employed in a regulated position would be classified as ‘working with children’. Recruiting Managers should contact their Departmental Personnel Officer to clarify if the post they are interviewing for is a ‘regulated position’.

- (d) Apart from where children are in employment, a child is defined as anyone under 18. Where children in employment are concerned, a child is someone under 16.
- (e) The successful candidate’s details must be forwarded to the departmental person authorised to undertake the Department of Health, Protection of Children Act List check. (See Guidelines for Recruitment and Selection for further details)
- (f) Candidates to be appointed to a regulated position shall not be offered the post if they appear on the PoCA list (whether or not provisionally).

- (g) Criminal records checks through the Avon & Somerset Police must also be undertaken on candidates being considered for the following types of posts:
- those working with vulnerable adults
 - adults working in the community, for example, Home Care Assistants and staff in Residential Homes for the Elderly
 - all first, second, third and fourth tier officers working in Social Services
 - officers who have a major responsibility for cash.
- (h) For posts exempt from the Rehabilitation of Offenders Act spent convictions must be revealed. The Rehabilitation of Offenders Act is presently being amended to make all 'regulated posts', as defined above, exempt under the Act. The first two categories covered by point 'g' above are also exempt under the Act.
- (i) If applicable criminal records check forms must be sent to all shortlisted candidates for completion and brought to interview.
- (j) The successful candidate's form is signed by the appropriate Council officer and sent off for checking to the police at Avon & Somerset Records Office. All other forms are destroyed.
- (k) If a criminal record check brings to light new information about a candidate (especially undisclosed information), the decision on whether to appoint such a candidate is usually made by an officer at or above 3rd tier. The decision is usually based on how old the candidate was, how long ago it was when the incident(s) occurred, the relevance to the job, the seriousness of the incident and the reasons for non-disclosure (if appropriate).

3.20 Right to Work

- (a) It is the legal responsibility of an organisation to ensure that it only employs people who have the right to work in this country. Potential employees must provide proof of their right to work prior to employment commencing.

Proof of right to work can be in the form of a document issued by a previous employer (ie P45), the Benefits Agency, the Employment Service, the Inland Revenue, which contains the National Insurance number of the person named in the document; passport; birth certificate; letter from Home Secretary giving right to work.

3.21 Qualifications

- (a) Essential qualifications must be checked for all appointments. The application form states that qualifications must be produced when starting a post, and Personnel Officers should ensure that this is the case.
- (b) Failure to produce evidence of qualification within one month of taking up the post may lead to termination of employment.

3.22 Informing unsuccessful candidates

- (a) The personnel section will inform unsuccessful candidates of the outcome of the interviews.
- (b) If they are to be placed on a reserve list, the appropriate letters will be drawn up.

3.23 Giving feedback

- (a) Feedback may be requested by unsuccessful candidates, which can help them improve their future interview performance. This is particularly important for under-represented groups.
- (b) Feedback either in person or by telephone should only be given after an appointment has been made, and panels should nominate one of their number to do this.
- (c) It is important to have the interview file to hand, as feedback should not be given from memory.
- (d) Information given should relate only to the criteria on the employee specification and be based on the evidence recorded during the selection process.
- (e) Be as constructive as possible. For example, you might want to suggest areas of their work where they need to get more experience.
- (f) It should be objective - do not express a personal opinion.
- (g) Do not compare the unsuccessful candidates to the successful one - do not discuss anyone else's performance.
- (h) Record a note in the file of the feedback given.

3.24 Record keeping and monitoring

- (a) Records of each stage of the procedure must be kept with the recruitment file, which should be returned to the departmental personnel section at the conclusion of the exercise.
- (b) It must be apparent from the evidence with the recruitment file that fair selection procedures have been adhered to. Records of how decisions have been made must be clearly documented and signed by the appropriate officer.
- (c) Where non-adherence is identified, the Departmental Human Resource Manager should raise the matter with the manager concerned in the first instance, and if necessary with the second tier officer.
- (d) Departmental Personnel Sections are responsible for keeping records and monitoring the procedures and outcomes of recruitment and selection. Personnel departments will do spot checks on returned recruitment files to ensure the correct evidence is present to demonstrate that fair selection procedures have been adhered to.
- (e) Statistics are compiled centrally using information given by departments, and these are monitored by and reported to elected members.
- (f) Monitoring will be undertaken of the number of Black and other minority ethnic people, Disabled people and women who:-
 - return an application form
 - are short listed
 - are appointed.

3.25 Recruitment auditing

- (a) Departmental Human Resource Managers will ensure that the recruitment documentation referred to above is received.
- (b) Periodically departments will audit the recruitment processes particularly in work groups where there is under-representation in the work group (eg where the proportion of appointments for black and minority ethnic groups is significantly different from the proportion of other candidates). Such audits to be determined by the Department concerned.
- (c) To ensure the consistent application of this policy Corporate Personnel will audit a sample of departmental recruitment files on a quarterly check basis and the results will be reported twice yearly to the Resources and Best Value Scrutiny Commission

4. Other provisions

- (a) If internal applicants are dissatisfied with the application of this policy they may use the internal Employee Complaints Procedure. External applicants may use the complaints procedure of the department involved (if applicable) or the Corporate Complaints Procedure. Complaints may only be raised about the application of the policy, they may not be about the appointment decision. All complaints should be sent to the relevant Department Human Resource Manager, who will investigate. The Personnel Manager, Employee Services will collate the number and details of these complaints twice yearly to report to the Resources and Best Value Scrutiny Commission, starting July 2001.
- (b) From time to time it may be necessary for Departments to introduce additional procedures over and above the requirements of this policy to meet the requirements of changing legislation, eg Warner Report, Protection of Children Act. If this is the case the department will inform the relevant trade unions.

5. Implementation and Review

The policy will be implemented from 1 January 2001 and will be reviewed after 1 year.

Related documents: Guidelines - Recruitment & Selection; Management of Change Policy; Sickness Absence Policy; Job Share Policy; Relocation Policy; References Policy; Disability Best Practice; Priority Candidates - Guidance for Recruiting managers; Integrated Equalities Policy.

Appendix A - 1st and 2nd tier officer appointments

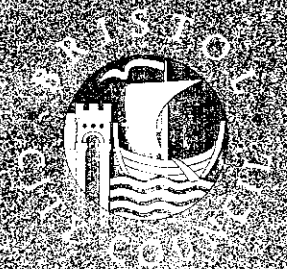
- (a) In the case of the appointment of the Head of Paid Service, shortlisting and selection will be undertaken by a member panel as for the 1st and 2nd tier officers, advised by either the Cabinet Secretary, the Monitoring Officer, or the Head of Strategic & Resource Planning or other nominated officer. The Council may also decide to invite an external specialist/consultant to advise the interviewing panel or otherwise participate in the recruitment process.
- (b) Shortlisting and selection of 1st and 2nd tier officers will be carried out by elected Members, except where the post is being filled temporarily for less than 12 months. In this instance, selection can be made by the appropriate Executive Member and the Head of Paid Service.
- (c) Recruitment and selection will be by a selection committee appointed by the full Council.
- (d) The Chair of the panel must be fully trained in Bristol City Council fair selection interviewing. Ideally, all other panel members should be similarly trained, but as a minimum they must be fully briefed in equalities issues, the provisions of the policy and the associated procedures.
- (e) The Head of Strategic and Resource Planning, or other nominated officer, may advise the panel on legislation, Council policy and best practice, but will not be included in the decision-making process.
- (f) During both the short listing and interviewing processes, the Head of Strategic and Resource Planning or other nominated officer, must make clear notes of the decisions made. This is part of the monitoring procedure which the Council uses to monitor equality of opportunity in recruitment and selection.
- (g) The Chair of the Selection Panel must ensure the following:
 - (i) That candidates are short listed against the essential criteria of the post in question.
 - (ii) The shortlisting committee must not receive any of the equalities information relating to applicants contained on the personal details sheet of the application form. The names of the candidates selected for interview will be available at the interview itself.
 - (iii) The Head of Strategic and Resource Planning or other nominated officer must make clear notes of reserve candidates. If any of the candidates selected for interview withdraw or are unavailable on the date chosen, it should be clear whether a reserved candidate should be invited to attend the interview, without having to reconvene the short-listing committee.
 - (iv) The Head of Strategic and Resource Planning or other nominated officer must clarify with the chair of the panel whether the selection process will involve testing. If so, the type of test, its weight relative to the interview and its administration on the day must be agreed with the panel and scheduled into the proceedings.
 - (v) As with all senior appointments, it is strongly recommended that testing is used to augment the interview process, and all tests should relate to the essential criteria for the job from which relevant competencies should be derived. (Please see section 3.15 of the general policy for further information on testing methods.)

- (vi) The Head of Strategic and Resource Planning or other nominated officer must clarify who has the responsibility for overseeing the testing process, for example, the Executive member, or the Head of Paid Service. Members will also need to decide whether candidates are to be given a conducted tour of the city/organisation and if any functions are to be held, for example the provision of a formal lunch/dinner.
- (vii) The Head of Strategic and Resource Planning or other nominated officer should clarify arrangements for references with the short-listing committee. References should be tailored to ask specific questions of referees which relate to the key elements of the employee specification. The procedure for obtaining references will be as detailed in section 3.16 of this policy.
- (viii) The Head of Strategic and Resource Planning or other nominated officer is responsible for ensuring that each member of the short-listing committee receives a complete file of applications and that the selection committee members each receive a file of the short-listed candidates' application forms, a job description, employee specification, draft questions, timetable, and any other appropriate documentation.
- (ix) At the conclusion of the selection process, the Head of Strategic and Resource Planning or other nominated officer will make available to the committee the references received for the preferred candidate. References are used to confirm the panel's decision and must not be used as a selection document.
- (x) The Head of Strategic and Resource Planning or other nominated officer at the interview must complete and sign an interview assessment form for each candidate on behalf of the committee. The Chair must be asked to sign this as a correct record.
- (xi) At the conclusion of the selection process all documentation must be completed and collated by the Head of Strategic and Resource Planning or other nominated officer and the information retained for the same time period as for any other recruitment process.
- (xii) All other recruitment and selection processes and checks must be undertaken in accordance with the recruitment and selection policy principles and procedures.

Allegato n.4

Work-life Balance Policy and Procedure

November 2001



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1. PREAMBLE

- 1.1 Flexibility in the labour market has been at the forefront of EU debate about employment culminating with the publication of a European Commission green paper in 1997 entitled "A Partnership for a New Organisation of Work".
- 1.2 The UK Government, as part of its modernising agenda for local government, has responded by producing a DfEE discussion document entitled "Work-life Balance - Changing Patterns in a Changing World" which sets out how the Government, in partnership with businesses, the voluntary sector and employee organisations, intends to help bring about that better balance between work and other aspects of life.
- 1.3 The Government's view of Work-life balance is that:
- *"Work-life Balance" is about identifying a more imaginative approach to working practices, which will benefit the business and benefit the workforce".*
 - *"The organisation will want to grant requests from employees only if a business case can be made. To do otherwise could damage the productivity and competitiveness of the business: Work life balance is not about that."*
 - *"The Government will deliver public services to meet the needs of the citizens, not the convenience of service providers. Public sector organizations are looking at how they can provide a better service for their customers while also enabling their employees to work in ways that fit in better with the rest of their lives."*
- 1.4 The City Council endorses this approach.
- 1.5 Responding to the above considerations, this Work-life Balance policy is the result of partnership working between Management, the Trade Unions and Members of Council working together to provide a framework for flexible working throughout the Authority to the mutual benefit of employees, the Council and users of the services the Council provides to the local community.

The cornerstones of this policy are:

Partnership working with trades unions and managers.

Equalities will be mainstreamed in line with the Integrated Equalities policy.

Best Value principles will be maintained throughout.

2. THE CASE FOR FLEXIBLE WORKING PRACTICES

Introduction

- 2.1 'Work-life Balance' is an important issue for all businesses today and the City Council is no exception to this rule. The factors affecting businesses include:
- an increasingly competitive marketplace
 - deregulation of labour markets
 - increasingly demanding consumers
 - impact of information technology
 - changes in the recruitment and retention of employees
- 2.2 These combine with dramatic changes in the nature of the workforce, where dual earners are now the norm, the population is ageing and there is a shift in the expectations of quality of life among all groups, but particularly among young people.
- 2.3 Employers will be unable to tap into the resources of the labour market if they cannot offer a balance of work and life. It is necessary to attract and retain good people into any business if it expects to survive, let alone prosper. In the current environment many organisations are researching into the expectations of their employees to understand their issues and values.
- 2.4 In the City Council's case, Best Value introduces the additional requirement to market test and to benchmark service provision against other service providers.

Competitive marketplace

- 2.5 The UK marketplace is becoming an increasingly competitive environment. Changes in customer demand and expectations of access to goods and services outside the traditional 9 to 5 structure mean organisations have to become increasingly flexible to survive.
- 2.6 The introduction of flexible working practices can be a significant factor in improving the quality of service provision without significant cost penalties.

Organisational culture

- 2.7 The success of any business, particularly a labour intensive business like the City Council, depends on a committed and capable workforce. There is a need to attract and retain good people and to have them working productively. These resources cannot be tapped if the employer is unable to offer the means for employees to balance their work and life.

Workplace stress

- 2.8 Workplace stress, caused by changes in the workplace such as leaner organisations, job insecurity and longer working hours and the out of work commitments of employees such as responsibility for dependants, are issues which Bristol City Council must consider, in conjunction with its stress policy. The cost of stress to employers includes high staff turnover, an increase in sickness absence and reduced work performance. Organisations also have a duty of care to ensure that their employees do not suffer physical or psychological damage in the course of their work.
- 2.9 One of the factors that aggravate workplace stress is non taking of leave entitlement during the leave year in which it accrues and this policy seeks to address this specific issue. Another factor is unacceptably high working hours. In this respect, the Council recognises the importance of the Working Time Directive.

Carers

- 2.10 The nature of the workforce has changed dramatically with the rise of dual career couples, the increasing number of one parent families, and the desire of men to become more involved in the rearing of children. We are also experiencing an ageing population that means more employees are experiencing both elder care and child care responsibilities. Because elder care responsibilities develop with time, carers are likely to be the most experienced members of staff.

Recruitment and retention of Disabled people

- 2.11 Flexible working increases access to employment for Disabled job applicants and existing employees who may need to work differently. Access to flexible working provides Disabled people with more choice as well as enabling the department to retain the employee. Through making mutually agreed reasonable adjustments by introducing flexibility to the way the Disabled employee works, the council could ensure that they remain in employment. For further information see “Improving the Employment of Disabled People - Good Management Practice Guide” on the Intranet.

Flexible working practices

- 2.12 A more flexible approach to working hours means that employers are more likely to retain valued and skilled staff, allows employers to provide customers with extended service and allows work-life balance for employees.
- 2.13 Flexible employment practices also make the equalities dimension more achievable as customer needs are addressed and services improved in line with the social inclusion and anti-poverty agenda.
- 2.14 There are strong arguments for organisations to look at this issue and this policy is the City Council’s response.

2.15 This policy needs to be applied in accordance with the Integrated Equalities Policy and other current core HR policies:

- Managing Change Policy
- Health, Safety and Welfare Policy
- Corporate Employee Development Policy
- The Maternity and Caring Employees Scheme
- Corporate Flexitime Scheme
- Part-Time working/Job-Share Policy
- Code of Practice on Homeworking
- Stress Policy

It is not intended that this policy should override the provisions contained within these policies, but it is to be viewed as an essential addition to the way in which the council employs and deploys its staff.

3 CONTEXT

- 3.1 This policy has been developed through partnership working between the recognised trade unions and the council.
- 3.2 The council and the trade unions jointly recognise the importance of employees being able to balance their working lives with their social, family and caring responsibilities. This policy is intended to provide a framework that allows flexibility in employment practices and at the same time safeguards standards for the council's services.
- 3.3 It is jointly recognised that flexible employment practices provide benefits for employees that will work towards raising morale and aiding staff recruitment and retention. It is also recognised that, properly used and managed, flexible working can improve the provision of services by facilitating a more responsive service delivery.
- 3.4 The Work-life Balance Policy facilitates the implementation of jointly agreed revised working arrangements which maintain and/or improve service provision:
- i) for individual employees
 - ii) for workgroups
- 3.5 This policy is particularly appropriate where changes are being introduced on a pilot, or temporary (trial) basis, and can be used for working towards, or achieving permanent change in the way in which services are provided. Jointly agreed flexible working provides a solution to the need for enhancements in service provision such as increases in 'opening hours' and changes in working practices. It also affords employees the opportunity for them to seek changes in their pattern of working, linked to personal circumstances while preserving their existing terms and conditions of employment.

- 3.6 Where (voluntary) flexible working does not provide sufficient staffing necessary to meet changes in service delivery, a service review under the council's existing Managing Change Policy may be appropriate.

4 STATEMENT OF INTENT

- 4.1 The council supports flexible working/different ways of working to achieve a balance between home and work as part of its overall commitment and strategy designed to promote equal opportunities in employment. This policy aims to enable good practice in Work-life balance to be for the benefit of both the council and all employees.
- 4.2 The council is committed to:
- Recognition that effective practices to promote work-life balance will benefit the organisation and its employees
 - Acknowledgement that individuals at all stages of their lives work best when they can achieve an appropriate balance between work and other aspects of their lives
 - Acceptance that employer and employees have a joint responsibility to discuss workable solutions and to encourage a partnership between individuals and their line managers
 - Appropriate policies and practical responses that meet the specific needs of the organisation and its employees, having regard to:
 - fairness and consistency
 - valuing employees for their contribution to the business, not their working pattern
 - the need to provide and maintain quality services
 - monitoring and evaluation
 - communicating work-life strategies to its employees
 - demonstrating corporate and departmental leadership in applying this policy, leading by example
 - making appropriate adjustments to enable Disabled employees to remain at work

5 PRINCIPLES

- 5.1 This policy will be used to support the council in securing continuous improvement in service delivery, with a view to reaching the standard of service provision prescribed in the best value legislation.
- 5.2 In principle all posts will be considered suitable for flexible working on the basis of a mutually beneficial partnership arrangement between the council, and its employees.
- 5.3 Any flexible working arrangement must be fair and equitable to all employees within the relevant workgroup. In many instances it will not be possible operationally for all employees in a workgroup to work "flexibly", if the number of employees seeking flexible working exceeds that which is acceptable on service delivery grounds. If this situation arises, the manager concerned must consider a fair method of selection to decide which employees will be allowed to work flexibly.
- 5.4 Flexible working within the purview of this policy is voluntary and no employee or group of employees will be coerced into participating against their will. Whilst no employee has an automatic entitlement to flexible working arrangements, this policy sets an open and transparent framework for introducing flexible working on a mutually agreed basis.
- 5.5 Unless otherwise agreed as part of a permanent change in service provision, any flexible working arrangements agreed between a manager, the relevant TU and individual(s) will, subject to review, constitute a temporary variation to the employee's substantive terms and conditions of employment. On cessation of the flexible working arrangement the original substantive terms and conditions will apply.

6 EXCLUSIONS

- 6.1 There may be occasions when there is a genuine operational reason for excluding an individual or post. Exclusion will only take place following consultation with the relevant trade unions and employees in the workplace and will be based upon operational efficiency, ie cost, impact on service, effect on the rest of the workgroup etc. Reasons for exclusion will be given in writing to the employee(s)/TU(s) concerned.
- 6.2 Flexible working may not be appropriate where, based on service needs, posts already cover nonstandard hours as a norm.
- 6.3 The provisions of this policy will not apply at this time to locally managed schools. Individual schools may however, adopt the policy but introduce modified work-life balance policies of their own (this is a decision for the individual school's governing body).

7 FLEXIBLE WORKING ARRANGEMENTS

Flexible working may involve many aspects that separately or in combination, facilitate individual employees balancing the needs of the service with their life and responsibilities outside the workplace, while maintaining or improving service provision and fulfilling their contract of employment.

When carrying out regular service reviews, managers should consider whether more flexible working practices would contribute to service improvements and at the same time provide opportunities for employees to achieve a better work-life balance.

The main arrangements for flexible working are:

7.1 Full-time working

Working 37 or more hours per week on standard hours, albeit within the scope of the council's corporate Flexitime Scheme (see Appendix E) where an employee has some discretion about his or her start/finish time.

7.2 Part-time working

Working less than 37 hours per week, with reduced daily hours, or 'full-time' daily hours covering less than 5 days per week, again where the employee has some discretion about his or her start/finish time. (See Job-Share & Part-Time Working Policy - Appendix A)

7.3 Job-share working

Where two or more employees share a full-time post, typically working half the week each. In most cases the provisions of the council's Flexitime Scheme will apply (pro rata) to job-share partners individually. (As above, the scheme is as set out in Appendix A)

7.4 'V-time' (voluntarily reduced hours) working

Where it is agreed that the employee works reduced or variable hours on a temporary basis. (The provisions for V-time working are set out in Appendix A).

7.5 Term-time working

Where an employee is employed on either a full-time, part-time or job-share basis, but works during (school) term-times only and who is entitled to unpaid leave during school holidays. Typically, the employee may be required to take their (paid) holiday entitlement during school holidays, and not during term-time (unless exceptional circumstances apply). (See Appendix B for details of this scheme).

7.6 Working annualised hours

Where an employee's hours are defined on an annual (or seasonal) basis, where there may be significant variations in weekly/monthly/quarterly hours and where flexibility is required. (For details of this scheme, see Appendix D).

7.7 Homeworking/hotdesking

Where an employee works some of their hours at home, or operates on a mobile basis, where it is not necessary for them to have a permanent office base and where shared desks/accommodation is appropriate ("hotdesking"). Details of this scheme are in the Code of Practice for Homeworking. Refer to Appendix J for a summary of the Code of Practice for Homeworking and further information on hotdesking.

7.8 Flexibility in working nonstandard hours

Where the needs of the service require working outside normal hours or there is agreement for an employee to work outside normal hours for personal reasons and there is operational work that can be performed at these times. (See Appendix F for details of this scheme).

7.9 Flexibility in agreeing rosters/exchanging shifts

Where an employee does not work traditional (core) hours, but where it may be possible for flexibility in rostering and/or revised cover arrangements etc. (See Appendix G for details of this scheme).

Generally employees working nonstandard hours fall outside the provisions of the Flexitime Scheme (see Appendix E) and will (probably) continue to do so.

7.10 Working compressed weeks/fortnights

Where an employee works their normal (gross) hours over 4 days rather than 5 days per week, or over 9 days rather than 10 days per fortnight. (See Appendix C for details of this scheme).

7.11 Unpaid leave

In some circumstances it may be possible/advantageous, for employees to take unpaid leave for an agreed period (eg where there are periods of reduced leave/service provision, and where an employee wishes to take leave without pay for personal reasons).

8 PROCESS FOR AGREEING FLEXIBLE WORKING

Conditions of flexible working

- 8.1 Flexible working, as part of a proposal to revise working arrangements and improve service provision, may be initiated:
- i) by employees (or on their behalf, by a trade union).
 - ii) by management.
- 8.2 Voluntary flexible working is to be introduced on the basis that the employee or group of employees and/or the trade union must agree with the line manager any variation in working hours or practices before commencement. Variations will be subject to an agreed trial period before approval is given to their use on a longer term basis. The length of the initial period must be clearly established from the outset, along with formal review/renewal arrangements.
- 8.3 When agreeing to a trial the manager must satisfy him/herself that there will be no significant detrimental effect on service provision, colleagues or employment costs caused by adopting the flexible working practice(s). Discussions with the employee and the trade unions will be undertaken to identify the perceived benefits and disadvantages together with the length of the trial period and the termination notice required, prior to a decision being made. Involving the department's Personnel team at this stage may be advantageous, if this has not already been done.

- 8.4 Once informal consultation has taken place and agreement reached in principle, consultation with colleagues affected by the proposed change should be undertaken. Consultation may also need to be undertaken with other departments if a direct impact on that department/service is identified.
- 8.5 Where changed working times arise solely from the personal preferences of the individual without there being a specific service need, premium rates will not be payable. Premium rates will, however, be applicable where the requirement to work at times attracting premium rates arises from the needs of the service.
- 8.6 The initial review of a trial period must be done in consultation, as above. If detriment to the service or colleagues is identified, which cannot be resolved, the pilot may be terminated at any time, with reasonable notice. Only if no significant service detriment is identified will consideration be given to continuing the flexible working arrangements.

The trial period may be terminated at any time by mutual consent or where maintaining the appropriate service standards is not possible (eg vacancies occurring). The employee will return to normal working on completion of the initial (or any subsequent) trial period unless an extended flexible working arrangement has been agreed.

Note: Employees should be aware that arrangements reducing their normal contractual working week will affect their Local Government Pension entitlement. Queries should be directed to the pensions authority - Bath and North East Somerset Council.

- 8.7 Comments and views should be considered and mutual agreement reached wherever possible. In case of disagreement, the manager must decide whether to proceed. It is important that individuals from all groups affected should have the opportunity to raise concerns with their trade union representatives or manager.

Implementation

- 8.8 Implementation and review dates should be determined and notified to the employees (in writing). It must be made clear that this change represents a temporary variation in their terms and conditions of employment, which may be ended as set out in this policy. (See Appendix N for the model application form).

Review

- 8.9 An individual's flexible working arrangement will be subject to regular review to ensure that it remains in the best interests of both employee and the council and is not causing detriment to other members of staff. The initial review period will normally be three months, but further review periods are at the discretion of management and employees concerned. They may be linked to service or best value reviews. When reviewing a flexible working arrangement, in so far as they are applicable, the following should be taken into account, the:

- i) effect on service delivery
- ii) effect on the workgroup as a whole
- iii) benefit to the individual
- iv) need to provide cover
- v) need to monitor workload/output of the individual working flexibly
- vi) views of direct users of the service
- vii) need for out of hours support to the employee working flexibly, including supervision, access to buildings and IT support

8.10 Additionally, an employee may request a review of his or her flexible working patterns at any time (in the case of a job-share, a review may have implications for the employee's partner, which should be the subject of a discussion with Departmental Personnel).

8.11 If for any reason the arrangement is ended, the employee will return to their substantive contractual working arrangements.

8.12 All vacant posts proposed for filling will be considered suitable for flexible working unless the line manager can demonstrate that there are service delivery reasons why this is not so. If a manager decides that a vacant post is suitable for certain working patterns only, this will be clearly indicated when the post is advertised.

Informal arrangements

8.13 Employee's needs can sometimes be met by an informal agreement that meets the employee's needs by allowing him or her occasionally to start work late or leave early. It is recognised that employees will be better able to focus on their work if they can respond to unexpected problems and make the time up later, (for example time off for attending a school play, visiting their partner in hospital or to be available for home service/delivery/repair visits).

8.14 This may be possible under the existing flexitime scheme, but the Work-life Balance Policy provides alternative ways of meeting the employee's needs. This may mean that normal flexible arrangements are (temporarily) set aside for the employee concerned.

9 PERMANENT CHANGE

9.1 Changes of a permanent nature are outside the scope of this policy, however it is recognised that trial arrangements which are successful sometimes may lead to more permanent arrangements. Where this occurs employees will be asked to agree to a formal change in their contractual terms.

9.2 Where it is recognised at the outset that changes in working hours are part of a permanent change in service provision which cannot be accommodated by a voluntary/temporary variation in employee's terms and conditions, the council's Managing Change Policy provisions will apply.

10 APPEALS

- 10.1 If an individual employee/trade union is not satisfied with a decision of a line manager, they are entitled to appeal to a Joint Appeals Panel comprising the Head of Service for the service involved (or a manager nominated by the Head of Service), a TU representative (who was not involved in the original application) and normally, a personnel advisor (who was not involved in the original application). This joint appeals process is in keeping with the principle that this policy is devised and implemented on a partnership basis between the council and the recognised trade unions.
- 10.2 The decision of this panel is final and there is no further recourse beyond this stage. A joint decision of the Appeals Panel is required to overturn the original decision of the line manager for the service area concerned.
- 10.3 A model process for an appeal hearing is attached (Appendix K).

11 LEAVE

- 11.1 This policy also links to other policies that provide for flexibility through leave arrangements. These include:
- maternity, parental and carers leave
 - the rolling (council) leave year based upon an employee's start date (Appendix I attached)
 - 'banked' accrued leave (Appendix H attached)
 - compassionate leave

Using the Contact Scheme to supplement flexible working may also be appropriate.

- 11.2 The maternity, parental and carers leave provisions, and the Contact Scheme are set out in full in the council's Maternity and Caring Employees Scheme.

12 DATE OF IMPLEMENTATION

This policy is effective from 6 April 2001.

APPENDICES

- A Part-time working/Job-Share policy including V-time working
- B Term-time only working scheme
- C Working compressed weeks/fortnights
- D Annualised hours scheme
- E Corporate flexitime scheme
- F Working outside normal hours
- G Flexibility in agreeing rotas/exchanging shifts
- H Banked or accrued leave scheme
- I Rolling (council) leave year scheme
- J Homeworking and hotdesking
- K Legal framework
- L Appeal process
- M Model Work-life Balance policy employee application form

Note: The policies and procedures reproduced at appendices A, E and J stand alone and may be implemented separately from the work-life balance policy. They are reproduced here for information.

Appendix A

PART TIME WORKING/JOB-SHARE POLICY

This is a separate policy ancillary to, not an integral part of the Work-life balance policy and is reproduced here for information.

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1. CONTEXT

This policy provides a framework for part-time working and job-sharing within the context of the City Council's Integrated Equalities Policy and is intended to be read in conjunction with the Work-life Balance policy.

2. PREAMBLE

- 2.1 The City Council recognises part-time working in all its definitions as fundamental to the delivery of services by the City Council and that a significant proportion of its employees work on this basis. It also recognises that part-time working is important in enabling employees to balance work with other commitments outside the workplace. The purpose of this policy is to confirm the City Council's position with regard to equality of treatment for all part-time workers, including job-sharers, in relation to full-time workers.
- 2.2 This policy and procedure covers both permanent job-share and part-time working (where it is part of an employee's formal contractual hours) and temporary job-share/part-time working, agreed in accordance with Work-life Balance Policy principles/arrangements.

3. DEFINITIONS

3.1 General definition of part-time working

The employee works fewer than the standard number of full-time hours per week; ie fewer than 37 in most cases. Some examples are working mornings, afternoons or school hours only, working reduced daily hours, working only on certain days per week, or working alternate weeks. Many council employees work this type of arrangement on a contractual basis. Others may on occasion work part-time on a temporary basis. (see also, 'Work-Life Balance' policy).

3.2 Definition of job-share

Job-sharing in the City Council is traditionally defined as being two employees voluntarily sharing the duties and responsibilities of a full-time post, each working part-time. Two variations of this arrangement may apply:

i. Shared responsibility

Where the employees share all the responsibilities of one full-time job, each performing the full range of duties picking up where the other left off.

(more suited to ongoing work rather than project based work)

ii. Divided responsibility

Where the responsibilities of one full-time position are divided between two people, although they may also provide back up for each other as required.

(More suited to work which can be easily divided up, eg project work)

Traditionally, job-share divides the standard working week (not necessarily evenly) between two people, as above. With the rise of out of hours service provision, greater flexibility may be required and job-share could expand to cover longer than the basic working week. For example, a function may require more than the standard 37 hour week to complete a job, and these hours could be job-shared by a number of people.

3.3 Temporary job-share and other flexible working arrangements

This policy details arrangements for contractual part-time or job-share working. Occasionally employees may wish to reduce their hours of work temporarily for domestic or other reasons (for a period not exceeding one year).

In accordance with the Work-life Balance Policy, employees may, temporarily, reduce their hours to “part-time” or “v-time” working, or may temporarily undertake “job-share” working. In these circumstances the provisions of the Work-life Balance Policy will apply, requiring a temporary variation to working hours by joint agreement with no commitment on either side to this arrangement becoming permanent.

Full-time employees seeking to undertake job-share or part-time working in accordance with the Work-life Balance Policy will also be subject to the “exclusions” and “other provisions” contained within it.

4. STATEMENT OF INTENT

4.1 Part-time working in general

The City Council supports part-time working on the basis that the pay, benefits and conditions of employment attached to the part-time post will be the same as those for full-time workers, pro rata to the number of hours worked in accordance with the Part Time Employees (Prevention of Less Favourable Treatment) Regulations 2000.

4.2 Job-share

The City Council supports job-sharing as part of its commitment to creating equal opportunities in employment and as an integral part of helping employees to achieve a more balanced relationship between work and other aspects of their life. The special features governing job-share make up the bulk of this policy document.

All posts within the City council are considered to be suitable (in principle) for job-share working. However it is at management discretion to decide where posts are not suitable for job-share working, examples of which are given in paragraph 4.3 Exclusions. An individual employee may hold more than one job-share appointment in the council at any given time providing:

- i) there is no direct conflict of interest between the two different job-share posts held by the employee concerned,
- ii) the working hours of the two job-share positions are compatible,
- iii) the overall working hours of the two job-share positions, when aggregated, do not exceed 48 hours per week.

4.3 Exclusions:

The application of job-share working for a particular post is at management’s discretion, if he/she considers that the post is not suitable, any such exclusion should fit in with the following:

- i. where the duties and responsibilities of the post cannot reasonably be carried out by more than the postholder, without there being a reduction in effectiveness and efficiency, or service delivery.

- ii) where there is already a high incidence of job-share/flexible working within a work group and where it would not be manageable to extend this further.
- iii) where the post is not full-time and where job-sharing a part-time post is not viable or where the second part of the job is unlikely to be viable in terms of attracting candidates.

5. EMPLOYEE APPLICATIONS TO JOB-SHARE

- 5.1 Any full-time employee wishing to apply to job-share their own post may apply to the appropriate Head of Service to do so (application forms are available from the departmental Personnel Section). An assessment of suitability will be carried out as though the post was vacant and the employee informed of the Head of Service's decision as soon as practicable.
- 5.2 If the Head of Service decides the post is suitable for job-share, the employee concerned will be expected to continue to work full-time hours until a job-share partner is appointed. If the Head of Service does not consider the post suitable for job-share the employee may appeal against this decision, utilising the formal appeal procedure set out in para 13. Employees returning from maternity leave should apply for job-share working using the form listed in paragraph 5.1.

6. RECRUITMENT AND SELECTION (Job-share)

- 6.1 If a post to be advertised has been determined as unsuitable for job-share, this will be clearly indicated in the advertisement and/or in the supporting documentation issued to candidates.
- 6.2 In drawing up a shortlist and making an appointment the provisions of the Recruitment and Selection policy will be followed throughout. All applicants will be considered solely on merit; there will be no discrimination against job-share applicants, so applicants seeking a full-time appointment will not be given preference over job-share applicants.
- 6.3 Each candidate applying for a post on a job-share basis, with or without a partner, will be interviewed and assessed individually and a selection will be made on the basis of their individual suitability for the post.
- 6.4 Where a job-share candidate is selected, the remaining part of the post should be offered, on a job-share basis, to other (suitable) applicants in strict descending order of suitability for the post irrespective of whether their original application was for job-share or not. If no suitable candidates remain, the post should be advertised again, on a job-share basis. Managers may seek to cover the remainder of the post on a temporary basis until it is permanently filled. In the meantime the successful applicant may be required to work on a full-time basis, as per paragraph 10 - Resignation of one job-share partner.

7. CONDITIONS OF SERVICE for Part-time Workers and Job-sharers

General conditions of service applicable to full-time employees will apply to part-time and job-share employees on the basis of proportionality to the number of hours worked, as set out below. Specific features, where clarification is required, will be included in the employee's statement of terms and conditions.

7.1 Statement of terms and conditions

Each postholder will be issued with a statement of terms and conditions which will specify whether the post is full-time, part-time or job-share. It will include an addendum to record any agreements reached with the Head of Service on how duties and responsibilities are to be divided, details of overlap, continuity, hours worked and special features. In the case of job-share, the job description and person specification will be those applying to the full-time post.

7.2 Probationary period

Part-time and job-share employees whose suitability for employment is subject to the satisfactory completion of a probationary period will be assessed in the same way as a full-time employee during and on completion of the first 6 months of employment. In the event of a job-sharer failing the probationary assessment, the provisions relating to the resignation of one job-share partner will apply (para 10).

7.3 Hours of work

The hours of work will be set out in the terms and conditions of employment, but in the case of job-share, should be such that should a vacancy occur the working hours and pattern advertised will form a sufficiently viable arrangement to attract new applicants. For this reason, unless there are exceptional circumstances (eg more than 2 job-share partners) the most common divisions are:

- iv. two and a half days/two and a half days
- ii. two days/three days
- iii. mornings/afternoons
- iv. Other patterns may be appropriate in accordance with the principles of flexible working. In these circumstances, managers and employees are advised to consider such arrangements on a temporary basis under the Work-life Balance Policy provisions

7.4 Communication between job-share partners

It is important that communication takes place between job-share partners and for this reason an appropriate overlap period must be built into the working day. Where this is not practicable, job-sharers and managers must ensure that adequate alternative briefing arrangements are agreed between them.

7.5 Resource sharing between job-share partners

Unless specific arrangements are agreed and clearly set out within the terms and conditions at the outset, all office accommodation and resources (desks, computers, telephones, printers etc.) will be shared by the job-share partners.

Any equipment taken home with management's permission (laptops etc) will be returned for use by the partner(s) as appropriate.

7.6 Pay

Job-sharers and other part-time workers will be paid pro rata to the hours each works, at the rate applicable to the full-time post if there is one.

Individual starting salaries for all part-time workers will be in accordance with the usual formula applied to full-time employees. It is possible, therefore that job-share partners and part-time workers carrying out similar duties to each other may not be on the same incremental point.

Increments, national pay awards or other service supplements will be paid to individuals in accordance with the appropriate conditions of service.

Where pay includes a variable eg a productivity payment, that element will be paid on an individual basis for each job-share partner.

7.7 Overtime

The City Council's general policy on granting overtime payments or time off in lieu will apply to job-sharers and other part-time workers as well as to full-time employees.

Where a job-sharer or other part-time worker, in a post where paid overtime is approved, works authorised additional hours in excess of their contractual hours, overtime will be paid at flat rate unless the hours of the individual employee exceeds the normal full time hours for the post (eg 37 or 39). Thereafter enhanced rates will be paid in accordance with the provisions of the overtime policy. Where a job-share or other part-time worker is required to work at weekends or bank holidays where the post does not normally require working at these times, enhanced rates will apply.

7.8 Carer's costs

In cases where job-sharers or other part-time workers are required to work additional or different days, without additional pay, to attend training seminars/meetings and additional carer's costs are incurred as a result, reasonable costs will be reimbursed.

In circumstances where additional payment is made for additional hours worked, employees will be expected to meet their own carer's costs.

7.9 Annual leave

Entitlement to annual leave (including bank and public holidays and locally agreed additional days) shall be proportional to the number of hours worked in relation to the normal working week. Leave will be calculated as working hours in order to avoid confusion, particularly with public holidays.

Because public holidays tend to fall at the beginning of the working week, job-share partners are responsible for making adjustments to their working pattern to balance entitlements evenly between partners and avoid over/under taking of holiday entitlements.

There will be no specific restrictions on job-sharers taking annual leave at the same time, although they will be subject to the normal provisions which apply to full-time and other part-time employees in this respect. (Within the exigencies of the service)

7.10 Sick Leave and Pay

The sick pay scheme applies to part-time and job-share employees on the same basis as full-time employees but paid pro rata to the days normally worked.

7.11 Maternity and Caring Employees Scheme

The maternity scheme applies to part-time and job-share employees on the same basis as full-time employees but paid pro rata to the days normally worked.

7.12 Car Allowances

The full mileage applying to the post will be used to assess the car user status applying to the post.

Subject to the post held being designated as an essential user post, for all job-share employees or part-time employees whose employment contract commences after the implementation date of this policy (1 November 2001), where the job qualifies for an essential car user allowance, this allowance will be paid pro-rata to the number of hours worked against a standard working week of 37 hours. Where individual employees are already in receipt of a full essential user allowance ie agreed prior to 1 November 2001, this allowance will be unaffected.

Where a mileage allowance is payable, each part-time worker will receive the allowance according to individual mileage travelled.

Each part-time holder of a post attracting a designated user status will be entitled to a full car loan, subject to the normal qualifying criteria contained within the Car Allowances policy.

7.13 Relocation

Job-share or other part-time employees who qualify for the council's relocation scheme will receive full benefits under the Relocation policy.

7.14 Expenses

For the purposes of efficiency and continuity it may on occasion be necessary for job-share partners to incur additional expenditure (eg private phone calls). Where such expenditure is legitimate and unavoidable, the costs will be fully reimbursed by the City Council.

7.15 Training

Each part-time worker will have access to training opportunities on the same basis as full-time employees. Part-time and job-share employees may be required to attend training/briefing sessions at times when they would not otherwise be working. In such instances, it must be clearly demonstrated by management that it is not reasonably practicable to organise such sessions on any other basis.

Where attendance for training is a requirement of the post, unless other arrangements are mutually agreed (eg: time off in lieu) such attendance will be paid at plain time rate. If the training takes place over the weekend enhanced rates will be paid where applicable.

7.16 Exceptions to pro rata entitlement

The only exceptions to the pro rata arrangements referred to above are:

- i. a full relocation allowance is payable to all qualifying part-time employees.
- ii. for all job-share employees or part-time employees whose employment contract commences after the implementation date of this policy (1 November 2001), where the job qualifies for an essential car user allowance the "lump sum" element of the allowance will be paid pro rata to the number of hours worked against a standard working week of 37 hours. Where individual job-share employees are already in receipt of a full essential user allowance, prior to 1st November 2001, they will retain the full "lump sum" element on a personal basis whilst they remain in their existing post (as at 31 October 2001) only.
- iii. a full car loan entitlement applies to postholders who qualify as casual or essential users.

Special Features

Each statement of terms and conditions will give details of any special features relating to the post where these are additional to, or different from, the conditions of service outlined in this section.

8. REVIEWS OF ESTABLISHMENT

When departmental reviews are carried out, part-time and job-shared posts will be subject to the Policy for Managing Change procedures in the same way as full-time posts.

9. FLEXIBLE EMPLOYMENT PRACTICES

Employees working part-time or job-share will be entitled to request that they be considered for any (appropriate) flexible working practice contained within the Work-life Balance policy in the same way as full-time employees, subject to such requests not worsening service provision or, in the case of job-sharers, being compatible with the principles of job-share and not disadvantaging their job-share partner. The agreement of management is required on the same basis as applicable to full-time employees.

10. RESIGNATION OF ONE JOB-SHARE PARTNER

- 10.1 Where one job-share partner, for whatever reason, resigns from the post the remaining partner (if two partners are sharing one full-time post) will automatically be offered the post on a full-time basis. If there is more than one partner, the remaining partners will be asked if they wish to increase their hours pro rata to each other, up to a maximum of 37 hours per week for any individual.
- 10.2 In the event of such an alteration in hours being unacceptable, or not covering the full hours of the post, the original job-share vacancy will be advertised in accordance with the Recruitment and Selection policy.

- 10.3 While another job-share partner is being sought, the Head of Service, in consultation with the employee(s), will consider what temporary arrangements can be made to cover the job-share vacancy, for example using the city council's employment agency, temporary employment, acting up or other relevant contingency .
- 10.4 In the interests of operational efficiency, should it not prove possible to recruit into the vacant job-share following 2 external advertisements at least one month apart, the Head of Service will have to consider alternative means of covering the duties of the post on a permanent basis.
- 10.5 This may mean the post being advertised on a full-time basis, although job-sharing applications will still be invited. In the event a full-time applicant is recruited, the remaining job-sharer(s) may have to be treated as being displaced and offered the appropriate support in seeking alternative duties in accordance with the Policy for Managing Change. The employee(s) concerned and the trade unions will be fully consulted before any decisions are made and their views on how to resolve the situation will be invited.
- 10.6 Where a remaining job-share partner has opted to take on a post full-time because no suitable partner can be recruited, they will have the right to request that the post be re-advertised as a job-share at regular intervals.

11. SUPERANNUATION

Employees wishing to work part-time, 'V-time' or to job-share should be aware that reduced hours affects superannuation benefits. Although the Local Government Superannuation scheme is the responsibility of Bath and North East Somerset Council, enquiries should be directed in the first instance to the Departmental Personnel Officer, who will process the enquiry on behalf of the employee concerned.

12. SECONDARY EMPLOYMENT

Although the reason for wishing to work part-time or to job-share is the private concern of the individual, under the Code of Conduct for Employees there is a general requirement on all employees not to undertake additional work which might conflict with the City Council's interests or have a detrimental effect on the work the employee is contracted to do by the City Council. Some of the provisions of the code are:

- i. Employees up to and including spinal Column Point 28 will be expected to notify their manager of any secondary employment undertaken.
- ii. All employees graded at or above SCP 29 must obtain the express consent of their Head of Service, Service Director or Head of Paid Service, as appropriate, prior to engaging in any other business or taking up any additional payment.
- iii. Employees have a responsibility to ensure that their overall working week does not exceed 48 hours - in accordance with the Working Time Regulations.

Note: 'Secondary Employment' includes other part-time work undertaken for the City Council as well as work for another employer.

13. APPEALS

If an individual employee is not satisfied with the Head of Service's assessment, they may utilise the appeal procedure set out in the Work-life Balance Policy. The appeal arrangements and timescales are as set out in that document.

14. FURTHER INFORMATION

Any queries or requests for further information on the Job-share scheme or part-time working in general, should be directed to the appropriate Departmental Personnel Officer.

15 DATE OF IMPLEMENTATION

This revised policy will be implemented from 1 November 2001.

Appendix B

TERM-TIME WORKING

- 5.1 Where term-time working is part of an employee's existing contractual terms, the employee remains on a permanent full or part-time contract that gives him or her the right to (unpaid) leave of absence during school holidays.
- 5.2 School holidays total about 13 weeks in a year and are much longer than annual leave allowances of about 5 weeks. Having taken the full annual leave entitlement during school holidays, there remains a potential for 8 or 9 weeks unpaid leave to cover all the remaining school holidays.

Note: Paid leave is accrued according to the number of weeks worked and therefore will be reduced in proportion to the reduction in weeks worked.
- 5.3 Term-time working is not new to the council and is common practice in education and some other areas, often as a permanent contractual arrangement. In the main this is due to reduced or nil demand for the services provided during school holidays.
- 5.4 The purpose of its inclusion in the Work-life Balance Policy is to enable a more widespread and informal (ie not contractual) application within the council where there may not necessarily be a reduced demand for services during the school holiday period, but recognising that individual employees may themselves have increased care responsibilities at these times.
- 5.5 Local agreement needs to be reached in each case on how much unpaid leave is required. This will vary according to how much paid annual holiday is available, how long the school holidays are and whether alternative care arrangements can be made for some of the holiday time.
- 5.6 These calculations need to be done at the start of each year (date to be agreed) to enable both employee and manager to plan ahead. Contractual arrangements will normally cover the full academic year, whereupon unless renewed, the employee will revert to their substantive terms and conditions.
- 5.7 There is a need to take into account the effect of term-time working on both the needs of the service and the workgroup as a whole
- 5.8 The line manager must be satisfied that adequate cover, by appropriately skilled staff, is available to ensure service delivery is not impaired during school holiday periods.
- 5.9 Salary arrangements involve the employees' recalculated annual salary being averaged over the whole year and paid in 12 equal instalments.
- 5.10 The other members of the workgroup should not be subjected to an undue burden of work during the absences of the employee who is working term-time only. To this end, the workgroup should be consulted before agreement is given to term-time working.

Appendix C

COMPRESSED WEEKS/FORTNIGHTS

- 1.1 Where working time is reorganised so that the same weekly basic hours are worked, for example, four or four and a half days: or nine days out of ten in a fortnight.
- 1.2 The effect of working compressed weeks/fortnights is to increase the length of those days worked in order to free up prime daytime (especially popular for attachment to weekends).
- 1.3 The line manager must be satisfied that adequate cover, by appropriately skilled staff, is available to ensure service delivery is not impaired during days when the employee is absent.
- 1.4 The other members of the workgroup should not be subjected to an undue burden of work during the absences of the employee who is working compressed hours. To this end, the workgroup should be consulted before agreement is given to compressed working.
- 1.5 It may be necessary to limit the number of employees who are absent at any particular time; eg Fridays: because of compressed working patterns.
- 1.6 Care must be taken to ensure that long periods are not worked that might lead to excessive fatigue, or be in contravention of the Working Time Directive. In addition, consideration will need to be given to practical considerations, such as access to buildings, security and personal safety.
- 1.7 Where extended hours/days are worked to build up the required number of hours, there must be sufficient operational work available to justify the time spent.
- 1.8 Work performed at unusual times without supervision should be monitored against pre-set targets. Care should be taken to ensure such targets are reasonable and achievable in the circumstances.
- 1.9 To avoid confusion or miscalculation, annual leave and bank holiday entitlements should be expressed in hours rather than days/weeks for employees working compressed weeks/fortnights (where the length of the day and number of days worked in a period are variable).
- 1.10 Compressed weeks/fortnights is a new provision of the Work-life Balance Policy, and should be implemented in accordance with its core principles and procedure agreements.

Appendix D

ANNUALISED HOURS SCHEME

A system by which the period of time within which an employee must work is defined over a whole year

Traditionally, the annualised hour's system is applied to a whole workgroup rather than individual employees and is service driven. An example is daylight hours working for outdoor workers where working longer summer hours is necessary, the need for which is balanced by shorter winter hours.

Annualised hours may also be applicable on an individual basis by employees who wish to work longer hours at certain times to allow shorter hours at others.

Care must be taken when agreeing to annualised hours working that safeguards are included to:

- Ensure that work periods that lead to excessive tiredness or infringe the Working Time Directive do not occur.
- Define when shorter/longer hours are appropriate to the needs of the service.
- Define how holiday entitlement is to be calculated and taken. (Calculating entitlement on an hourly basis to accommodate days with different working lengths may be necessary).
- Limit the amount of time deficit/surplus that may build up. When employees leave or change jobs, surplus time is usually paid up. Deficits are usually deducted from the 'final' salary of the employee and this can be the cause of conflict. In the case of a transfer, if this did not happen, a legacy of owed time would be transferred with the employee.

Considerations must be given to personal safety, access to buildings and availability of IT and other support services.

The line manager must be satisfied that adequate cover, by appropriately skilled staff, is available to ensure service delivery is not impaired during shorter working periods.

The other members of the workgroup should not be subjected to an undue burden of work during the absences of employees who are working annualised hours. To this end, the workgroup should be consulted before agreement is given to annualised hours working.

Work performed at unusual times without supervision should be monitored against pre-set targets. Care should be taken to ensure such targets are reasonable and achievable in the circumstances.

Appendix E

CORPORATE FLEXTIME SCHEME

This scheme is ancillary to, not an integral part of, the Work-life balance policy and is reproduced here for information.

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1. STATEMENT OF INTENT

This scheme is an integral part of the council's declared intention of having a flexible approach to employment practices, linked to service improvements. It must be read in conjunction with the Work-life Balance policy, and other policies which deal with flexible working.

2. BASIS OF SCHEME

The flexitime scheme can be applied throughout the Council, where flexitime is worked on the basis that it is compatible with or supplements, other flexible working arrangements. It can form part of the contractual arrangements for employees, or can be introduced temporarily in accordance with Work-life Balance Policy core principles and procedural arrangements

This is a corporate scheme, however the Chief Officer can, subject to appropriate consultations with the recognised trade unions and staff involved, vary details of this scheme to meet essential operational/service delivery requirements. In all other circumstances where flexitime is appropriate, the corporate scheme should apply.

Management must ensure that work is carried out effectively and service delivery maintained. At times it will be necessary to vary the attendance hours of employees to meet the needs of the section/department within the standard day, and this condition is implicit in the flexitime scheme. It may even be necessary to operate a rota to maintain cover on a regular basis. Departmental Human Resource Managers will advise on the operation of the scheme in conjunction with the departmental work-life balance steering group.

Any queries or requests for further information on flexitime working arrangements should be addressed to the Departmental Human Resource Manager or the Head of Strategic and Resource Planning.

3. ELIGIBILITY AND EXEMPTION

a. Eligibility

In principle, every post in the City Council, whether existing or new, will be considered suitable to be covered by flexitime working.

Where a part-time or job-share employee's contract of employment includes working during core hours as agreed by the employing department, the employee may be eligible for the flexitime scheme subject to the exigencies of the service and with the prior agreement of their line manager.

b. Exemption

The City Council's support of flexitime is based on the premise that there will be no significant loss of efficiency or decrease in the level of service provided. On this basis, there may be genuine operational reasons for excluding certain posts. Examples include:

- (i) shift workers;
- (ii) where an employee's contract requires them to work specific hours for operational reasons and these cannot be varied without detriment to the service;
- (iii) where an employee elects to work flexible arrangements under the Work-life Balance Policy which are incompatible with this scheme. Any variation in working hours or flexitime arrangement must be specifically agreed with their line manager and will be subject to operational requirements. The introduction of non standard hours under the Work-life balance policy may mean that it is neither appropriate nor possible (on service delivery grounds, where the number of employees available at specific times, may be reduced below the required level) for employees to continue to benefit from the flexitime scheme. Managers must consider this and advise employees accordingly.
- (iv) posts dealing directly with the public, where staffing levels do not allow flexitime working without eroding the service provision.
- (v) JNC 1st and 2nd tier staff
- (vi) employees in locally managed schools

If a post is to be designated as 'unsuitable', this should be done solely on the grounds of operational efficiency/service delivery requirements and must be done before it is advertised. The establishment of unsuitability will be the responsibility of Heads of Service (2nd tier officers) within departments who will take into account such factors as the nature of the duties undertaken and the degree of continuity required, service delivery/efficiency, the impact on other members of staff and members of the public, committee requirements and the need to respond to external timetables (eg court attendance).

Heads of Service will advise the staff involved and trade union representatives in advance when a post is not suitable to be covered by flexitime working. In the event of the matter not being agreed or resolved, an appeal may be lodged using the appeals procedure as set out in the Work-life Balance Policy.

4. PROVISION OF SCHEME - WORKING ARRANGEMENTS

a. Bandwidth and Core Times

Bandwidths will be from 0730 to 1800 hours Monday to Friday which will apply where standard hours are worked. Where departments introduce flexible working, these bandwidths may no longer be applicable, and each Chief Officer will have discretion to vary the length of bandwidths set out in this scheme, by agreement with the staff/unions. Where weekend or evening working is introduced, it may be appropriate to determine new bandwidths, appropriate to the service area.

Core times are those hours each day when all employees must be present at work. Under the Corporate flexitime scheme for employees working a standard day, they are from 09.30 to 3.00 hours. Where employees are working a reduced number of days per week/fortnight, core hours will be 9.00- 4.30pm. Variations may apply to either of these arrangements, as indicated in paragraph 2 above, or through special arrangements under the Work-life Balance Policy.

Where a part-time or job-share employee's contract of employment includes working during core hours as agreed by the employing department, the employee may be eligible for the flexitime scheme subject to the exigencies of the service and with the prior agreement of their line manager.

b. Meal/Rest Arrangements

A minimum of 30 minutes for meal/rest breaks must be allowed for in any working period greater than 4 hours, to be taken at a suitable period in the working session to meet operational requirements. The timing of the break shall be determined by management taking account of the minimum number of employees that must be present at any one time during the rest breaks for service delivery reasons. Employees should not be expected to be present at the work-station during their break.

c. Qualifying/Accounting Period

For accounting purposes, flexitime periods shall be of four weeks' duration. The qualifying/ accounting period is the time within which employees must complete their contractual hours (eg if employees are contracted to work 37 hours per week, they will have to clock-up 148 hours on the flexitime scheme in a four-weekly accounting period). The number of qualifying hours will be reduced for part-time employees, on a pro-rata basis, against a standard 37 hour week. Employees working a 4 day week/9 day fortnight/voluntary V-time, may not be eligible for lieu time within the provisions of this scheme or may be given a modified entitlement to lieu time as agreed with their departmental management. Such arrangement to be confirmed (in writing) at the outset.

d. Credit/Debit Hours

Flexi-leave may be taken in respect of credit time built up by the end of the accounting period up to a maximum of one working day (or two half days) per four-week period. Such leave may only be taken at a mutually convenient time, and by prior agreement with the line manager. A maximum of one half-day per period will be allowed for job-sharers/part-time employees. The number of hours to be deducted from the total number of hours worked in the period to cover the flexi-leave taken will be commensurate with the number of hours which should have been worked during that day, (e.g. 7.5 hours Monday-Thursday, 7 hours Friday for employees working a standard day, or 9 hours for someone who was scheduled to work 8.30-6.30 under a work-life balance arrangement.)

Responsibility for ensuring that sufficient entitlement for flexi-leave exists must rest with the employee (not with the supervisor or person authorising the leave).

Employees subject to the Corporate Flexitime Scheme may carry over a maximum of 15 hours credit or 7.5 hours debit from one qualifying/accounting period to the next, with a pro rata entitlement for part-time employees. Lieu time in excess of this maximum will be lost or, by agreement with departmental management, paid as overtime, (subject to the Council's Overtime Policy). Management and employees are reminded of the Working Time Directive, and hours in excess of 48 per week will not qualify as accrued hours for flexitime.

Time off will be allowed prior to having been accrued subject to the credit or debit limits not having been exceeded by the end of the accounting period.

Where employees transfer from one department to another, eg Personnel Employment Agency staff, or through promotion, they will not normally be permitted to carry forward 'credit' or 'debit' time from one department to another. Credit time must be offset by time off in lieu, or paid as overtime, and all debit hours must be cleared before the transfer date.

e. Time Recording

All employees undertaking non standard flexible working, including flexitime will be expected to record their hours on a monitoring form issued by their department's personnel team. Management will be required to monitor non standard working, and to authorise lieu time, variations to core hours and any other non standard working arrangement.

5. PROVISIONS OF SCHEME - TIME-OFF ARRANGEMENTS

a. Annual Leave/Sickness/Day Release for College Attendance and Training Courses

Employees who are absent on annual leave, sickness, courses and meetings relevant to the City Council's operations or otherwise authorised to be absent, will be credited with the hours for a standard day (or part thereof) in accordance with their contracted hours of work, (e.g. if an employee is contracted to work 0830 to 1700 hours (Monday - Thursday) and 0830 to 1630 (Fridays) but has a flexible working arrangement to work 37 hours in 4 days, e.g Monday to Thursday 08.00 to 18.15, they will be credited with 7.5 hours for absences which take place Monday to Thursday and 7 hours for Friday. Any additional working hours lost will need to be worked at a later date within the accounting period. If the employee's contracted hours are other than the standard 37 hour week, the number of hours credited for absence will be in accordance with those stated on their contract for that particular period.

Where sickness results in a pre-booked flexi-leave day not being able to be taken by the end of the accounting period, the employee can, with the approval of the section head, carry forward the hours to the next accounting period in addition to the normal 15 hours' credit maximum.

b. Appointments

Appointments with doctors, dentists and opticians should be made outside of 'Core' time wherever possible for non-emergency situations. Where this is not possible the agreement of the section head should be obtained. It is recognised that emergency appointments and those which require hospital attendance may necessitate attendance anytime during the working day. Attendance at health and/or cancer screening which form part of the Council's initiative or any other Council policy (eg Maternity Scheme) will be permitted during the working day. Where appointments cannot be avoided during 'Core time', hours will be credited in accordance with the hours lost.

Where employees have opted to work specific hours under the Work-life Balance Policy and are not able to arrange such non-emergency appointments outside of working hours, they should discuss with their manager an alternative arrangement to enable them to work the time lost.

c. Trade Union Meetings

Where time off is permitted for accredited staff representatives and shop stewards to attend trade union meetings/trade union training courses, the employees concerned will be allowed to record the standard hours for the day (or part thereof) as stated in paragraph 5B above.

Where employees are required to attend meetings outside standard hours by management/committees as part of the formal consultative/negotiating arrangements, the hours will be credited under the flexitime scheme.

d. Absence Due to Emergencies/Severe Inclement Weather (see Authorised/Unauthorised Leave of Absence Policy)

Where an employee is unable to attend work or continue at work owing to emergencies (eg bomb/fire alert), standard hours shall be recorded (see 5B above).

Similarly, standard hours will be applied where 'severe inclement weather' is acknowledged by the Head of Paid Service and normal working arrangements set aside.

e. Other Authorised Absences

Where national conditions of Council policies prescribe paid time-off for such circumstances as jury service, public duties (eg school governors), election duties, territorial and auxiliary forces, compassionate leave and ante-natal care, the employee concerned will be credited with standard hours as set out in paragraph 5B above, or with the hours which would have been worked under any specific arrangement under the Work-life Balance Policy.

6. OVERTIME WORKING - OUTSIDE OF PROVISION OF SCHEME

For the purpose of this scheme 'overtime' applies where an employee works outside the bandwidth period stated in paragraph 4A above, except where contractual overtime working over-rides the provisions of this scheme.

Overtime working which occurs outside the bandwidth hours shall be recorded separately, and may be paid as overtime or be covered by time off in lieu as set out in National Conditions of Service, or as specifically agreed by the Central Support Services Executive. These are not, therefore, subject to the provisions of this scheme.

Where an employee has volunteered to work a specific arrangement as part of the Work-life Balance Policy and the availability of flexitime has been agreed, the determination of the bandwidth will be agreed between the employee(s) concerned, the line manager and the trade union prior to the arrangement commencing, and will be reviewed as part of that arrangement.

Where an employee is required by management to attend for or remain at work (eg evening meetings) outside the 'standard day' (ie before 0830 hours or after 1700 [1630 hours Fridays]) or outside of any specific working arrangements agreed through the Work-life Balance Policy (including any specific bandwidth arrangements), 'overtime' or 'time-off in lieu' arrangements may be applied by mutual agreement between management and the employee. In this event the appropriate hours will fall outside the flexitime scheme and will be recorded as per the overtime outside 'bandwidth hours' arrangements as stated above.

There may be periods when the demands of the service require hours of work which would result in excess carry-forward of hours. In such exceptional cases, and with the approval of the relevant Head of Service, (2nd tier post) additional carry-forward of hours from one four-week period to another may be allowed, provided these are properly recorded.

As indicated above, contractual overtime worked in excess of 37 hours per week, is outside the provisions of this scheme and will not qualify for credit time as set out above, unless specifically agreed by the Head of Service (2nd tier post) concerned.

7. ABUSE OF THE SCHEME

It is the responsibility of employees to accurately record their working hours and aggregated lieu time. Any employee who fails to do so, will forfeit his/her entitlement to flexitime during the period for which recording has not taken place. Employees will also be liable for disciplinary action (or dismissal whether there has been a fraudulent misrepresentation of working hours, or of lieu time taken or accrued.)

Employees who consider that this scheme is not being fairly applied to them will have recourse to the appeals procedure as specified in the Work-life Balance Policy.

8. APPEAL ARRANGEMENTS

Appeal arrangements for this scheme are as stated in the Work-life Balance policy.

9. DATE OF IMPLEMENTATION

This revised flexitime scheme will be introduced with effect from 1 November 2001.

Appendix F

WORKING OUTSIDE NORMAL HOURS

- 1 Some services may need to operate outside normal hours - nights, weekends, public holidays etc, and, where working outside standard hours, is a contractual requirement for the employees concerned.
- 2 Even when the service does not require this, some employees may prefer to work some time outside normal hours for domestic reasons, in which event the provisions of the Work-life Balance Policy should apply.
- 3 Such an arrangement is dependant upon there being an operational need for work outside normal hours and there being no adverse effect on service delivery at times an employee is absent during normal working hours.
- 4 Although for those on flexitime, such an arrangement may be achieved, with the line manager's agreement, by extending the bandwidth of the flexitime policy unless agreed otherwise, the revised working hours will constitute 'core hours' for the individual employee for the duration of the agreement to work regularly outside normal hours.
- 5 Managers need to ensure that employees do not choose, for their own convenience, to work their basic hours at times that attract premium rates unless there is an existing, or new, business need for work to take place at such times.
- 6 Care should be taken to ensure that excessive working at 'quiet periods' does not lead to feelings of isolation in the individual undertaking work outside of normal hours and to a consequential decrease in motivation.
- 7 Work performed at unusual times without supervision should be monitored against mutually agreed pre-set targets. Care should be taken to ensure such targets are reasonable and achievable in the circumstances.
- 8 The line manager must be satisfied that adequate cover, by appropriately skilled staff, is available to ensure service delivery is not impaired during normal working hours when the employee who is working different hours is absent.
- 9 Where needed, IT and administrative support should be available for work undertaken outside normal hours.
- 10 The other members of the workgroup should not be subjected to an undue burden of work during the absences of the employee who is working outside normal hours. To this end, the workgroup should be consulted before agreement is given to working outside normal hours.

Appendix G

5 FLEXIBILITY IN AGREEING ROTAS/EXCHANGING SHIFTS

1. Teams can propose the patterns they want to work, within agreed parameters, while meeting the needs of the service.
2. Two employees may 'swap' shifts so one or both may attend to other concerns when they would normally be working. (In cases where there was preplanned mix of experience/gender/race in the original shift balance 'like for like' changes should be regarded as the norm unless the prior agreement of the manager is obtained).
3. Management must set out any limitations to shift parameters that will be discussed with the TU's before there is staff involvement in setting shifts in order not to create conflict after shifts are proposed.
4. Proposals for shift working arrangements made by staff must be acceptable to management/TU's and comply with service delivery needs before being made operational.
5. If there is a disagreement about the efficacy of a particular shift working proposal, providing it complies with service requirements and does not conflict with the Working Time Directive, a trial period may be used to resolve the issue. This should be for a defined period and the points to be established by the trial should be recorded in writing before starting the trial and carefully monitored during the trial.
6. In the case of an employee leaving while working an agreed shift pattern, before advertising for a replacement, the shift pattern should be jointly reviewed by employees and management so any changes can be agreed before an advertisement is placed.
7. Changes to an established shift pattern should only be made:
 - When the needs of the service dictate: ie service needs change or shift is not meeting the needs of the service
 - By an initiative of the group working the shift.
8. If an individual wishes to change his or her shift pattern this may only be done with the agreement of the other members of the workgroup concerned and management.
9. This is a new provision of the Work-life Balance Policy, and should be implemented in accordance with its core principles and procedural arrangements.

Appendix H

'BANKED' TIME ARRANGEMENTS (Time off in lieu)

- 1 The employee works additional hours when the service demands/allows it with agreement from the manager and the additional hours are recorded and 'banked'. The 'banked' hours are then used to take additional leave at a time agreed with management. The time may be taken in small parcels (ie - days off) or longer periods of weeks leave. This may be taken in the current leave year or transferred, by agreement and subject to the needs of the service, to a future leave year. Careful planning is essential to ensure the needs of the service are met both during the accruing of additional leave and the taking of accrued leave.
- 2 This flexibility is not intended to be a means of storing large amounts of time, eg for a sabbatical, and would normally be subject to an upper limit of additional leave not exceeding one half the employee's normal entitlement to annual leave in that year and a limit of not more than 2 weeks of this additional holiday being transferred to the next leave year.
- 3 Care should be taken to ensure that hours worked for the purpose of 'banking' are necessary and in the interests of the service and not worked for the sole purpose of building surplus hours.
- 4 Taking of 'banked' leave must be with the agreement of the line manager, taking into account the needs of the service, and must not take priority over legitimate needs of other members of the workgroup; ie normal holiday entitlement/flexi-leave has priority.

It is important that proper planning takes place and that leave accrued for a purpose is as far as reasonably possible used for that purpose and not 'lost' because of unforeseen circumstances arising at the time leave is due to be taken.

- 5 While it is recognised that 'banked time' can sometimes be used to cover domestic circumstances that do not themselves qualify for paid time off and notice for this may of necessity be short, normally taking banked leave requires adequate notice to be given and the line manager's agreement obtained before booking leave. Except in the exceptional circumstances indicated above, such notice should be a minimum of three times the leave to be taken, ie 3 weeks notice of 1 weeks leave.

Note: Authorised (unpaid) leave may be available as an alternative to banked leave in exceptional circumstances such as those indicated above.

- 6 'Banked leave' attached to normal annual leave periods must take into account the circumstances of the workgroup and the needs of the service. Normally, substantial notice of the intention to add 'banked leave' to annual leave must be given. It is unlikely that this notice will be less than 3 months where the period away exceeds 4 weeks in total.
- 7 The line manager must be satisfied that adequate cover, by appropriately skilled staff, is available to ensure service delivery is not impaired when the employee is taking extended leave, even in 'quiet' periods, or taking shorter periods of 'banked' leave in busy periods. The cost of cover may be a factor in agreeing such leave.
- 8 Care must be taken to ensure that excessive hours are not worked in order to build up 'banked' leave`.

- 9 Additional hours worked must not infringe the provisions of the working time directive.
- 10 'Banked leave' will normally accrue as 'flat rate' irrespective of when worked unless service needs dictate otherwise and it is mutually agreed to accrue time at premium rate.
- 11 'Banked leave' will not accrue during the bandwidth of any flexitime scheme operating within the workgroup.

Appendix I

ROLLING LEAVE YEAR

- 1 From 1st April 2001, calculation of annual leave entitlement will move progressively towards using an individual employee's council starting date rather than from a corporate leave year beginning on 1st April each year.
- 2 This change will avoid untaken leave entitlement being compressed into a period leading up to the end of March each year, which has service delivery implications and results in the carry-over of leave into the next leave year. Interim arrangements will need to be put in place to facilitate this change over.
- 3 It is important that employees take adequate leave each year and the introduction of a rolling leave year is intended to make the carry over of normal holiday entitlement unnecessary. (See separate 'Banked Leave' section above for carry over of accrued additional leave)
- 4 The rolling leave year will apply to new starters with the Council and existing employees who volunteer to make the change from 1st April 2001. Employees may opt to join the scheme on each succeeding April 1st, but once the change has been made, employees will not have the option of reverting to 1st April in the future.
- 5 This is a new provision of the Work-life Balance Policy, and should be implemented in accordance with its core principles and procedural arrangements.

Appendix J

HOMWORKING AND HOTDESKING

See also the Code of Practice on Homeworking and Guidelines for Managing Hotdesking.

In accordance with the council's approach to Work-life Balance, a Code of Practice covering homeworking has been adopted. This code contains a number of key elements which managers/supervisors and employees must be aware of.

Homeworking is just one of the flexible working practices that the Worklife Balance Policy seeks to promote. Homeworking may also be deemed desirable or necessary to the efficient working arrangements of the council and as such should also be seen in the context of the Managing Change Policy and Procedure. This Code of Practice is intended to provide both guidance and protection for staff and managers who are considering or undertaking Homeworking.

Homeworking can provide various benefits to both the employer and the employee, with the employee gaining greater flexibility in their hours and reducing their travel costs. As well as supporting the city council's environmental objectives, homeworking can free up office space and improve staff retention.

The key areas of the Code of Practice are as follows:

- **Definitions of homeworking/hotdesking**

These include occasional, partial and full homeworking as well as hotdesking. Many of the provisions in this document relate to partial and full homeworking. Health and safety considerations apply to all employees. Hotdesking is where an employee operates on a mobile basis without a dedicated workstation in council accommodation.

- **Assessment for suitability**

The following factors need to be considered:

- Can the job feasibly be done from home without impairing the quality of the services provided?
- Has a cost benefit analysis been undertaken to assess the cost effectiveness of the employee/s homeworking?
- Is the employee's home working environment suitable for homeworking?
- Has the employee considered their own specific needs including practical issues such as the layout of the workstation and also issues such as tackling isolation and managing workload?

- **Health and safety considerations**

The Code of Practice outlines the key health and safety issues and the responsibilities of the Heads of Service, managers and employees. Both employees and managers will have to undertake the designated training before the employee can undertake homeworking. Employees will need to complete the homeworking risk assessment sheet which will then be discussed with the manager. Only when this process has been completed satisfactorily will the employee be able to take up homeworking.

- **Costs, reimbursement of expenses, provision of equipment and supplies**

Managers need to consider the financial implications of an employee taking up homeworking. A cost/benefit analysis proforma is contained in Appendix E to enable managers to evaluate this. The completed form should be submitted to the appropriate Head of Service for authorisation. This section also indicates how telephone and other costs will be covered for homeworkers. Appendix C offers more specific guidance on reimbursement of expenses.

- **Provision, access and support**

Provision of IT equipment will be determined by the frequency of homeworking and nature of work the employee is undertaking at home. Employees are reminded of the security issues that relate to homeworking computer use whether they use their own PC or one provided by the council.

- **Insurance**

The Council will provide insurance cover for employees and any equipment that it supplies. All homeworking employees must inform their own insurance company that they plan to work from home. If they find that they will incur an increased insurance premium as a result they will be recompensed.

- **Security of equipment and information**

An assessment of the security measures is included in the Health and Safety self assessment checklist. Employees must take reasonable steps to ensure the safety of the council's equipment. An inventory of what equipment has been provided must be drawn up and signed by both the manager and employee. Employees must also be aware of the relevant data protection issues.

- **Management issues**

Management monitoring procedures such as setting mutually agreed targets, hours worked, training and development are detailed. All employees and posts new to homeworking are subject to a minimum 12 week trial period except in exceptional circumstances. The procedures for communication between the homeworker and both their manager and team are also detailed.

- **Contractual Variations**

Homeworkers' terms and conditions will equate to those of workplace based employees. Any variations in conditions will either form part of their contract or be an addendum to their contract depending on whether homeworking is a permanent arrangement or on a trial basis. Other stipulations are also laid out such as hours, return of council property and termination of homeworking.

- **Hotdesking**

Where an employee operates on a mobile basis, where it is not necessary or appropriate for them to have a dedicated and exclusive workstation in council accommodation, and where shared desks/accommodation would be appropriate.

In these circumstances, the manager must consider the following issues:

- creation of hot desking area, with standardised PC and fully adaptable desktop if appropriate
- security and location of working files and papers
- telephone arrangements
- a range of seating provision with footrests etc.
- office equipment provision
- team 'break-out' areas
- 'quiet' hot desk areas
- provision of lockable storage
- booking arrangements

Reference to the full Code of Practice is advised before homeworking/hotdesking is implemented.

Appendix K

THE LEGAL FRAMEWORK

Employment Relations Act 1999 (supplemented by regulation) provides for:

- Statutory procedure for Trade union recognition
- Reform of the law on maternity leave, extending period of leave to 18 weeks irrespective of service
- Additional maternity leave lasting up to 29 weeks after the birth of the baby after one years service instead of two.
- Right to parental leave of up to 3 months
- Adoption leave (introduced under the EC Parental Leave Directive)
- Right to reasonable time off for domestic incidents involving a dependant (introduced under the EC Parental Leave Directive)
- Right to be accompanied by fellow employee or trade union official in disciplinary and grievance proceedings
- Protection of people taking lawful organised industrial action against unfair dismissal in the first 8 weeks of a strike
- Protection of part-time workers against discrimination (introduced under the EU Directive on Part Time Work)
- Increase in upper limit of unfair dismissal compensation to £50,000

Working Time Directive Regulations provide for:

- 3 weeks paid holiday each year (4 weeks after Nov 1999)
- Ceiling of 48 hours on the maximum working week (Averaged over up to 17 weeks)
- Right to a break where the working day is longer than 6 hours
- Right to a rest period of 11 hours every working day
- Right to a rest period of 24 hours every working week
- Ceiling on night work of an average of 8 hours in every 24
- Free health assessment for night workers

The above is in addition to the overarching statutory provisions governing Health and Safety at Work and Sex, Race and Disability discrimination.

Appendix L

APPEAL PROCESS - WORKLIFE BALANCE POLICY

1. Right of Appeal

If an individual employee/trade union is not satisfied with a decision of a line manager in relation to a request to adopt one or more of the flexible working options set out within the Work-Life Balance policy, they are entitled to appeal to a Joint Appeals Panel.

2. Registering an Appeal

The appeal should be registered with the appropriate Head of Service within 10 working days of written refusal of the request for flexible working being received from the line manager.

3. Joint Appeals Panel

The Joint Appeals Panel will comprise the Head of Service for the service involved (or another manager nominated by the Head of Service), a TU representative not involved in the original application and optionally, at the discretion of the manager, a personnel advisor who was not involved in the original application.

4. Principles

This joint appeals process is in keeping with the principle that this policy is devised and implemented on a partnership basis between the Council and the recognised trade unions. Accordingly, a joint decision of the Appeals Panel is required to overturn the original decision of the line manager for the service area concerned.

5. Submitting an Appeal

The appellant must submit the basis of the appeal in writing to the manager at the time the appeal is registered and may submit a further written statement of why (s)he considers the refusal to grant a request for flexible working is unreasonable. If a written statement is submitted this must be done at least 5 working days prior to the hearing to allow time for its circulation to members of the Joint Panel. The Appellant may be represented at the hearing by an appropriate trade union representative or by a work colleague.

6. Appeals Procedure

The panel will be chaired by the Head of Service and the hearing will follow the procedure set out below:-

a) The Appellant will set out the case for flexible working, introducing witnesses if appropriate.

The line manager will question the witnesses

The Panel members will question the witnesses

- b) line manager will set out the reasons for refusing the request, introducing witnesses if appropriate.

The appellant will question the witnesses

The Panel members will question the witnesses

- c) The Appellant will summarise their case, without introducing new evidence
- d) The Line manager will summarise their case, without introducing new evidence
- e) Both sides will withdraw and the Joint Panel will reach a decision. Both sides will re-enter the meeting to hear the decision, which will be confirmed in writing.
- f) Witnesses will be permitted to remain throughout the hearing, but will not re-enter the meeting to hear the decision.

7. Decision of the Joint Appeals Panel

The decision of the Joint Panel is final and there is no further right of appeal nor recourse to the employee complaints procedure in relation to the decision of the panel. The options open to the Panel are to:

- i) Uphold the appeal and instigate flexible working as requested, on a trial basis.
- ii) Uphold the appeal in part and offer a modified form of flexible working to the Appellant. There is no further appeal against such an offer, which will be on a trial basis, and must be accepted or rejected as offered.
- iii) Reject the Appeal

In the event the Panel fails to agree, the original decision will stand (See paragraph 4) above.

Appendix M

WORK-LIFE BALANCE POLICY APPLICATION FORM

The Council is committed to:

Recognition that effective practices to promote work-life balance will benefit the organisation and its employees

Acknowledgement that individuals at all stages of their lives work best when they can achieve an appropriate balance between work and other aspects of their lives

Acceptance that employer and employees have a joint responsibility to discuss workable solutions and encourages a partnership between individuals and their line managers

Can you answer 'Yes' to these questions?

- Have you talked in team meetings about different ways of delivering your service?
- Are there people in your division, providing a similar service to yours, who are working differently from the way you work?
- Have you read the Work Life Balance policy? Do you know where to get help/advice about it?
- Have you had a meeting where people have discussed how they would like to work?
- Have you involved TU reps?
- Do people know how to make proposals for change using the Work-life Balance Policy?
- Have all your team reached agreement that the proposed changes will work for the benefit of the service?

NEXT STEPS

- 1 Send your team proposal (s) to your departmental personnel team.
- 2 Departmental personnel will present the proposal(s) to the relevant Divisional Management team who will approve final proposals. Then personnel will inform the Departmental Champion.

Bristol City Council

FLEXIBLE WORKING PROPOSAL

To be completed by employee (s)

Name(s)

Team Department

Division Location

Line manager's name

Trade union reps name(s)

Current working arrangements (hours/days/location) - summarise

Proposed working arrangements

To be completed by line manager

Impact of employee's proposal on service delivery

Revised working arrangements agreed with employee (hours/days/location)

'Flexitime' arrangements (if any) (see Flexitime Agreement)

Core Hours	Band width
------------	------------

Overtime arrangements (eg, time off in lieu, premium rates, if applicable)

Implementation date Review date

Agreed by

Employee (s) Date

Line manager Date

Trade union rep (s) Date

Approved by: 2nd tier officer Date

Title: