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The Chair and Members of  
Employment and General Committee

3 May 2018

Dear Councillor,

Please attend a meeting of the EMPLOYMENT AND GENERAL COMMITTEE to be held on MONDAY, 14 MAY 2018 at 10.00 am in Committee Room 2, Town Hall, Rose Hill, Chesterfield, the agenda for which is set out below.

AGENDA

Part 1(Public Information)

1. Apologies for Absence
2. Declarations of Members' and Officers' Interests relating to Items on the Agenda
3. Minutes (Pages 3 - 6)
4. Policy on Managing violence and aggression at work (Pages 7 - 34)
5. Revised Bullying and Harassment Policy (Pages 35 - 50)
6. Revised Performance Development Review Policy (Pages 51 - 72)
7. Local Government Act 1972 - Exclusion of the Public

To move "That under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following items of business

on the grounds that they involve the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A of the Act".

8. Minutes of Employer / Trade Union Committee (Pages 73 - 82)

Yours sincerely,

A handwritten signature in black ink, appearing to be 'Sandy', written in a cursive style.

Local Government and Regulatory Law Manager and Monitoring Officer

## EMPLOYMENT AND GENERAL COMMITTEE

Monday, 5th March, 2018

Present:-

Councillor Burrows (Chair)

Councillors Simmons  
J Innes

Councillors Wall

\*Matters dealt with under the Delegation Scheme

**44 DECLARATIONS OF MEMBERS' AND OFFICERS' INTERESTS RELATING TO ITEMS ON THE AGENDA**

No declarations of interest were received.

**45 APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Blank and Davenport.

**46 MINUTES**

**RESOLVED –**

That the Minutes of the Meeting of the Committee held on 22 January, 2018 be approved as a correct record and signed by the Chair.

**47 STAFF VETTING POLICY**

The HR Manager submitted a report recommending for approval the Staff Vetting Policy.

The need for a standalone policy to clarify the council's position regarding the use of criminal record checks had been identified.

The policy aimed to prevent excessive or insufficient checking of criminal records for current or prospective employees and to provide guidance to managers to ensure the correct procedures were followed.

The draft policy had been presented and approved by the Employer – Trade Union Committee on 14 February, 2018.

**\*RESOLVED –**

That the Staff Vetting Policy be approved.

**48 CODE OF CONDUCT POLICY**

The HR Manager submitted a report recommending for approval the revised Code of Conduct Policy.

The policy had been updated to include changes to employment law, ACAS guidelines and best practice.

The draft policy had been presented and approved by the Employer – Trade Union Committee on 14 February, 2018.

**\*RESOLVED –**

That the revised Code of Conduct Policy be approved.

**49 DOMESTIC ABUSE POLICY**

The HR Manager submitted a report recommending for approval the revised Domestic Abuse Policy.

The policy aimed to recognise that domestic abuse was a serious and common issue which was significantly under-reported. The policy recognised it was essential that the working environment promoted the view that domestic abuse was unacceptable and would not be tolerated.

The draft policy had been presented and approved by the Employer – Trade Union Committee on 14 February, 2018.

**\*RESOLVED –**

That the revised Domestic Abuse Policy be approved.

**50 LOCAL GOVERNMENT ACT 1972 - EXCLUSION OF PUBLIC****RESOLVED –**

That under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in Paragraph 1 of Part 1 of Schedule 12A of the Act.

**51 MINUTES OF EMPLOYER/TRADE UNION COMMITTEE**

The Minutes of the Employer/Trade Union Committee held on 10 January, 2018 were considered.

**RESOLVED –**

That the Minutes be received and noted.

**52 MINUTES OF THE COUNCIL HEALTH AND SAFETY COMMITTEE**

The Minutes of the meeting of the Council Health and Safety Committee held on 24 January, 2018 and the Corporate Accidents and Work-Related Ill-Health Incidents Report from that meeting were submitted.

**RESOLVED –**

That the Minutes and the Corporate Accidents and Work-Related Ill-Health Incidents Report be received and noted.

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## FOR PUBLICATION

### MANAGING VIOLENCE AND AGGRESSION TOWARDS STAFF POLICY

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MEETING: EMPLOYMENT AND GENERAL COMMITTEE

DATE: May 2018

REPORT BY: KATE HARLEY, HR MANAGER.

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#### **1.0 PURPOSE OF REPORT**

1.1 To provide information regarding the introduction of the revised managing violence and aggression policy and to recommend the new policy for approval.

#### **2.0 BACKGROUND**

2.1 The council has recognised that the current policy for handling violence at work and the process for managing and controlling the staff caution list needed updating to ensure staff safety at all times

2.2 A task and finish group was established for both the lone working and staff caution list projects but once the lone working group had met for the first time it became clear that the topics were interlinked and therefore the groups met together in January to work on three key projects: lone working policy, managing violence and aggression at work and staff caution list.

2.3 Over the period January to March the task and finish group met three times and the draft policy and process put forward today is the result of that work.

2.4 In drafting this policy document and the staff caution list procedure there were several issues raised that the group has tried to address within certain assumptions. The assumptions the group worked to are:

- That the staff caution list was not likely to be replaced in the short term and therefore any solutions needed to take this into account
- Any proposal must be within existing resources
- A quick solution was required that met the Data Protection requirements

2.5 The group identified various issues with the existing policy and process, some of which are:

- Inaccessibility of the staff caution list to staff out in the field
- No formal process of referral and existing referrals not compliant with Data Protection and no audit trail of decision making
- Not enough categories of referral to ensure staff safety from threats posed by the environment

- Existing resources not sufficient for updating and reviewing staff caution list and not enough deputies for nominated officer and system administrators therefore leading to delays in the process
- Existing systems difficult to access

2.6 To address these issues the policy and procedure proposes the following changes:

- That the SHE system is used to register any incidents of violence, aggression and environmental risks and that this generates a referral to the staff caution list (this replaces the ad-hoc email referrals currently). The rationale for this being that many incidents of violence and aggression are recorded on the SHE system as health and safety incidents and this would avoid duplication of reporting.
- A formal approval process is established with specific criteria and forms for completion by the nominated officer to ensure an audit trail of all decisions made, including notification to customer as required under Data Protection Act.
- An increased list of risk categories are included in the policy to increase the protection afforded to staff from the increasingly diverse risks e.g. needles, environmental hazards.
- That an interim system marking be used whilst the referral is being decided to ensure protection for staff from the earliest point
- That deputies are nominated for system administrators and nominated officer to ensure the process can be completed within the timescales laid out.

2.7 To ensure that relevant legal obligations are adhered to it will be necessary for systems to be cleansed of all non-compliant notes once this revised policy and procedure is approved to ensure that the council is protected from prosecution should data get into the public domain.

2.8 There are still some outstanding system issues to resolve at the time of writing this report which will be resolved during the implementation stage of the revised policy and procedure.

### **3.0 Consultation**

3.1 This policy has been devised by the health and safety sub-group which included union representatives. The policy has also been to the Health and Safety Committee for comment and endorsement and was endorsed by them on April 18<sup>th</sup> 2018.

### **4.0 Recommendation**

4.1 It is recommended that the committee approve this policy and procedure.

**Kate Harley**

**HR Manager**

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# Policy for Managing Violence and Aggression towards Staff

(including environmental hazards and staff caution list  
procedures)

Prepared by: Human Resources

Approved by Employment and General Committee: 2018

For review: 2021



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## **SECTION 1: Violence, aggression and environmental hazards policy**

### **Policy statement on violence, aggression and environmental hazards at work**

1. Chesterfield Borough Council is committed to providing a safe and secure work environment for all its employees, and will take all reasonably practicable measures to prevent, or reduce the risk of such exposure to violence, aggression and environmental hazards when delivering services to the community. The authority also recognises that exposure to violence, aggression, (or threat of violence) or harm due to the environment, is not an acceptable part of employee's duties.
2. This policy also covers the threat of harm from the working environment and provides the opportunity for staff to report their concerns on unsafe working environments through the staff caution list process e.g. threat due to needles.

### **Scope**

- 2.1 This policy covers all persons engaged on council business and includes all employees, elected Members, voluntary workers and students on work attachment/experience and contractors. This policy should be read in conjunction with the council's policy and procedure on the management of unreasonable complaints or customers.

### **Introduction**

- 3.1 The council recognises that any form of violence involving employees is unacceptable and is committed to taking action to control this threat.
- 3.2 The council accepts responsibility to reduce the risks to employees by introducing safety measures, training and publicising procedures on how to deal with violence at work. When an employee has suffered a violent incident at work, support through counselling and advice will be made available.
- 3.3 In certain circumstances the council retains the right to withdraw its services from any person or property where it is considered that there is a continued threat to any of its employees.
- 3.4 Employees will not be expected to interview or visit someone alone who, on a previous occasion, has displayed some form of violence towards them.

## Data protection principles

- the information should be accessible to those with a need to access it
- the information should be kept accurate
- the information should not be kept longer than is necessary
- the data subject should be made aware of their individual rights and why we are processing their personal data (with the exception where this would exasperate the situation)

## Examples of forms of abuse, threats and violence

- 4.1 Work-related violence can be defined as any incident in which an employee is abused, threatened or assaulted in circumstances arising out of the course of their employment. This meaning is based on the Health and Safety Executive's definition.
- 4.2 Violence and aggression mean different things to different people. How individuals define violence can affect how these incidents are reported. The following definitions may be used to describe aggression to which staff may be exposed:-
- Verbal abuse:** Threatening or obscene language to the person, face to face or over the telephone
  - Hate abuse:** Harassment or abuse to the individual, verbally or physically that is motivated by age, disability, gender, race, religion/belief or sexual orientation
  - Threat:** verbal or written, to the person or to the property, or both – may include threat using animal violence
  - Property damage or theft:** of the property of the member of staff, including cars
  - Physical abuse:** attempted assault, with or without a weapon, which does not result in actual physical harm to the member of staff
  - Physical assault:** with or without a weapon, resulting in actual physical harm to the member of staff at the level of bruising, cuts, lacerations, hair pulling or more serious injury – may include deliberate animal attack
  - Sexual abuse:** sexual harassment or other forms of inappropriate sexual behaviour, which does not result in actual physical harm to the member of staff
  - Sexual assault:** sexual assault resulting in actual physical harm to the member of staff at the level of bruising, cuts, lacerations or more serious injury

- ix. **Other:** any form of physical or psychological assault or abuse, threats, harassment or unpleasant behaviour not contained in the above, which the member of staff considers to have been sufficiently serious to warrant concern.

## **Zero tolerance of violence**

- 5.1 No individual should have to or feel they have to accept or tolerate any of the above forms of violence.
- 5.2 Although there are many forms of violence, employees should report **all** incidents whether physical, verbal or other as under reporting leads to problems when attempting to monitor or evaluate the policy and procedures. This also distorts statistics and leads people to assume either the policy is working or incidents of violence are less than first expected.
- 5.3 Under reporting occurs when employees regard unacceptable/aggressive behaviour, or environmental hazards as 'part of the job', a regular occurrence or dealt with effectively at the time. Such perceptions highlight the effect individual attitudes can have on a reporting process.

## **Responsibilities of managers**

- 6.1 The council has a clear duty under health and safety legislation to provide a safe place and safe systems of work for all its employees. It also has duties towards non-employees to ensure that council activities do not cause detriment to their health and safety.
- 6.2 All managers have a responsibility to implement this policy and to make sure their staff are aware of it and understand it.
- 6.3 Managers must treat any report of work-related violence; threats, abuse or environmental hazard reported seriously and respond to them promptly.
- 6.4 Following a notified incident, managers must consider whether the individual or property identified should be referred to be considered for inclusion onto the Staff Caution List.
- 6.5 Record details of the incident on the SHE system and give all employees involved in the incident full support during the whole process. Managers should also respond and consider seriously any suggestions made by staff about how to improve violence prevention and management, and give feedback to staff about their suggestions, including whether it will be taken forward and if not, why not.

- 6.6 Line managers should ensure that suitable risk assessments are carried out for all work activities where there is a risk of violence or abuse. Risk assessments should consider people who may be especially vulnerable such as young people and expectant or nursing mothers.
- 6.7 Suitable and sufficient control measures should be put in place to eliminate the risk of work related violence. Where this is not reasonably practicable, then control measures should reduce the risk of such issues to a tolerable level.
- 6.8 Ensure that all employees are provided with clear instructions in respect of reporting incidents and threats of violence and aggression and environmental hazards in accordance with this policy.
- 6.9 Support employees involved in incidents of violence and aggression by providing appropriate post-incident support and debriefing to employees. Where appropriate, and in consultation with the employee concerned, make an offer of referral to the counselling service.

## **Responsibility of Employees**

- 7.1 All employees have personal responsibility for their own behaviour and for ensuring that they comply with this and relevant council policies. The following actions undertaken by staff may help prevent work-related violence and aggression.
- 7.2 Accept and understand their responsibilities for reducing the risks of violence, and to co-operate and comply with any instruction given by managers which is provided for reasons of health and safety e.g. wearing and using PPE devices (Skyguard or other)
- 7.3 Employees have a responsibility to behave in a way that does not incite or increase the likelihood of violence. Any staff member found to be encouraging or inciting violence may be subject to disciplinary action.
- 7.4 Employees will offer good customer service and be aware of customer needs. They will conduct work in a manner which is safe for themselves, their colleagues and members of the public.
- 7.5 Recognise the potential for work-related violence and take action to resolve it early on. Staff should take positive action and, for example, contact a manager if they think a customer or member of the public might cause problems.
- 7.6 Where identified through risk assessment, attend any training and subsequent refresher training provided for the risks associated with violence and aggression.
- 7.7 Bring to their managers attention and/or trade union representative if they become aware of a work situation where there is a risk of violence or

environmental hazard which has not been adequately addressed. Employees should suggest any additional measures which might help to prevent and manage incidents of work-related violence.

- 7.8 Employees should not accept instances of work-related violence directed towards themselves or others. Staff should report any instances of violence, threats or abuse to their line manager, whether physical, verbal or other and environmental hazards that cause concern e.g. needles. Details about when it happened, who was involved and any relevant circumstances that may have contributed to the incident should also be provided. All incidents should be reported and recorded on the SHE system and flagged for referral to be considered for inclusion on the staff caution list.
- 7.9 Staff should be supportive of colleagues who are victims or have witnessed work-related violence.
- 7.10 Suggest additional measures to managers which might help to prevent and manage incidents of work-related violence and threat of environmental hazard.

## **Risk Assessments**

- 8.1 Risk assessments will be carried out on all job posts/work activities where employees interact with members of the public, and that they take account of the risk of violence and aggression to employees, environmental hazards and ensure suitable control measures are implemented to remove or reduce the significant risks that are identified.
- 8.2 Incidents of violence and aggression and environmental hazards within the workplace will be monitored and risk assessments will be revised where necessary.
- 8.3 All employees identified through the risk assessment process, will receive suitable and sufficient training at appropriate intervals in skills that can be used to minimise risks to their personal health, safety and wellbeing.
- 8.4 If employees believe a risk factor has not been addressed by the assessment or if they have suggestions on further prevention measures, they should discuss these with their line manager. The contents of the risks assessment will be communicated to all staff and appropriate training will be given.

## **Actions following an incident**

- 9.1 Response arrangements will vary depending on the nature of the incident and the service areas involved. Appropriate responses may include (but are not limited to) the following:
  - Explaining to the perpetrator that their behavior is not acceptable and to try and defuse the situation and resolve the problem wherever possible.

- Approaching a manager or a colleague for support.
  - Removing themselves from the situation by walking away.
  - Activating any available alarm system such as 'Skyguard'.
- 9.2 In the event of an incident of violence and aggression, employees should implement the appropriate response arrangements for the particular service area as identified in the service area risk assessments.
- 9.3 The police should be notified immediately where there is an incident involving a physical attack or for serious cases of threatening or verbal abuse. The police should also be informed of persistent cases of violence, threats and abuse.
- 9.4 Where an employee has been involved in a distressing incident, managers must ensure that they are given time to recover and the appropriate support. This may involve referral to occupational health, counselling, physiotherapy or other specialist support. The employee should also be offered a stress risk assessment and the manager should follow the procedure in the managing stress policy. Medical assistance should be provided immediately where required.
- 9.5 Any CCTV recordings of serious incidents should be retained for the purpose of police investigations in accordance with CCTV policies and procedures
- 9.6 Managers will respond and thoroughly investigate all incidents, threats of, or actual violence at work, and take any remedial action that may be necessary to reduce the risk of further violence and aggression, including reporting on SHE system, notifying union safety reps where appropriate and referring to the staff caution list.
- 9.7 Any incident of physical assault will be reported to the appropriate member of CMT.
- 9.8 Staff members will be encouraged to provide support to any victims or witnesses of violence, threats or abuse through appropriate training, and managers should provide support, including, where needed, allowing time off work for individuals to recover. If the incident warranted police involvement the individual should be given time off with pay to deal with any investigations necessary.

## **SECTION 2: Staff caution list**

### **Staff Caution List**

10.1 In order to protect employees from violence, aggression and threat of harm caused by environmental hazards, the council keeps a register of recent incidents. This information is classed as sensitive information and must therefore be processed fairly and lawfully.

10.2 When considering referral to the staff caution list, employees and managers should be aware of the categories of risk identified (see below) and refer under the appropriate risk code (see appendix A). The categories for inclusion on the staff caution list are:

- Verbal abuse experienced – the customer, tenant, resident or visitor to the property has been verbally abusive to staff either in the office, over the phone or at a property
- Physical abuse experienced – actual physical harm
- Person with potential to express unacceptable behaviour or threat of physical harm
- Person with known expression of physical harm towards others
- Contagious medical condition present
- Risk of harm from needles/sharps
- Risk from uncontrolled dog or other pet at the property
- Person who is vulnerable e.g. those susceptible to influence by others with the intent to cause harm e.g. 'cuckooing'
- Risk of harm from others who live at or visit the property
- Advice received from other reputable source e.g. ECINS

10.3 The purpose of the staff caution list is to provide relevant employees with appropriate warning where there is a significant concern regarding potentially violent individuals or hazardous environments. This information should be used to implement suitable precautions to ensure the safety of staff meeting known potentially violent persons or visiting certain locations.

10.4 The register is ONLY for potentially violent persons/unsafe environments identified using the methods detailed above. It shall NOT include difficult customers.

10.5 Managers must ensure that they have processes in place to ensure that the information held on the central staff caution list is available to their staff

10.6 It is not recommended that the information from the central staff caution list is

copied to other ICT systems, transferred by email or other file transfer methods or is printed unless suitable safeguards are in place to ensure the confidentiality, integrity and availability for the information

## **Incident reports process**

- 11.1 To ensure a streamlined process and avoid duplication, following a notified incident under one of the categories at paragraph 10.2 above, and having decided a referral is appropriate, the individual's manager will immediately complete an incident report on the SHE system. (See Appendix 4) The manager will consider an immediate referral to the staff caution list.
- 11.2 Entries shall only be included where it has been assessed and agreed that the incident warrants inclusion to minimise future risks and protect the safety of future visiting staff, Elected Members and contractors.
- 11.3 Only formally reported incidents, using the process identified, shall be considered for inclusion on the register.
- 11.4 Managers must enter details of the incident on the SHE system and where asked to give details of the incident they must state they wish for the incident to be referred for inclusion in the staff caution list. (Follow the process at Appendix 4) The health and safety manager will then 'action' this to the Nominated Officer who will consider the incident and decide if inclusion against specified risks is appropriate using the risk assessment at Appendix 2.
- 11.5 If the Nominated Officer decides the individual or property should be entered on the staff caution list based on the specified criteria, the list will be updated and the relevant system administrators will be notified within 48 hours to ensure staff safety is maintained. If the nominated officer decides **not** to include the individual or property on the staff caution list the decision will be notified to the relevant manager.
- 11.6 To ensure staff safety once a risk has been identified, a note will be entered on the relevant services systems that a pending SCL entry has been made. Once a decision has been communicated back to the service areas this note will be removed.
- 11.7 The Nominated Officer will decide whether the individual (data subject) entered onto the register should be informed of this under the Data Protection Act using the risk assessment process included in Appendix 2.

## **Review process**

- 12.1 The Nominated Officer will ensure that the staff caution list is maintained and a review undertaken at 6 monthly intervals to ensure that the list complies with Data Protection legislation using the review form at Appendix 3. This review will include the manager who made the referral to provide latest information on risks to the service.
- 12.2 Where staff are made aware of changes to the tenant or property that may affect the entry on the register, this new information should be sent to the

Nominated Officer immediately.

## Appendix 1

### Categories of incident and risk code for inclusion in staff caution list

Code	Description	Recommended staff action	Inclusion period
CBC1	Verbal abuse experienced – <i>the customer, tenant, resident or visitor to the property has been verbally abusive to staff either in the office, over the phone or at a property</i>	<ul style="list-style-type: none"> <li>• Exercise caution during personal contact]terminate conversation if verbal abuse experienced by phone (give warning first)</li> <li>• Report concerns to manager</li> </ul>	6 months
CBC2	Physical abuse experienced – actual physical harm	<ul style="list-style-type: none"> <li>• Manager risk assessment before visit</li> <li>• Joint visits to property during daytime only consider police support</li> <li>• Inform manager when leaving for and returning from property</li> <li>• Report any concerns to manager</li> </ul>	1 year
CBC3	Person with potential to express unacceptable behaviour or threat of physical harm	<ul style="list-style-type: none"> <li>• Joint visits to property during daytime only</li> <li>• Report concerns to manager</li> </ul>	1 year
CBC4	Person with known expression of physical harm towards others	<ul style="list-style-type: none"> <li>• Joint visits to property during daytime only</li> <li>• Report concerns to manager</li> </ul>	1 year
CBC5	Contagious medical condition present	<ul style="list-style-type: none"> <li>• Essential personal contact only.</li> <li>• Advise if medical risk expires</li> <li>• Report concerns to manager</li> </ul>	1 year
CBC6	Risk of harm from needles/sharps	<ul style="list-style-type: none"> <li>• Exercise extreme caution when visiting premises or during personal contact</li> <li>• Report concerns to manager</li> </ul>	1 year

CBC7	Risk from uncontrolled dog or other pet at the property	<ul style="list-style-type: none"> <li>Request animal is secured before entering the property</li> <li>Report concerns to manager</li> </ul>	1 year
CBC8	Person who is vulnerable e.g. those susceptible to influence by others with the intent to cause harm e.g. 'cuckooing'; those where risk of compromise or personal embarrassment	<ul style="list-style-type: none"> <li>Manager risk assessment before visit</li> <li>Joint visits to property</li> <li>Report concerns to manager</li> </ul>	1 year
CBC9	Risk of harm from others who live at or visit the property	<ul style="list-style-type: none"> <li>Joint visits to property</li> <li>Report concerns to manager</li> </ul>	1 year
CBC10	Advice received from other reputable source e.g. ECINS	<ul style="list-style-type: none"> <li>Take advice from source</li> </ul>	1 year

### Severity of incident

- 1 Officer felt uneasy due to the intimidating manner of the person  
Presence of a dog used in an intimidating manner  
Prevailing environment felt intimidating
- 2 Non-contact aggressive gestures e.g. striking the table or wall (frustration)  
Use of intimidating language (may involve foul language directed at the officer)
- 3 Officer prevented from leaving due to PVP barring the way  
Behaviour intended was regarded as a credible threat  
Verbal threat of harm/violence to officer, family, property  
Specified/unspecified weapon/dog  
Irrational & or uncontrolled behaviour  
Suggestive/offensive or otherwise unwelcome behaviour, verbal or physical
- 4 Weapons found at location inappropriately stored/without licence
- 5 Actual physical violence towards officer/family, or property damage  
PVP brandishing weapons  
Violence to others in presence of an officer  
Animal attack

## Appendix 2

### Risk assessment of potentially violent persons/potentially environmental hazards (PVP's/PEH's)

This form should be used for assessing and reviewing incidents involving violence, threats, abuse and premises reported as being hazardous through the SHE system, and from information provided by external sources to determine whether entries should be made on the staff caution list

<b>Incident report number:</b>	<b>Date of incident:</b>
<b>Source of information:</b>	
<b>Name/s of PVP or hazardous location:</b>	
<b>Type of threat:</b>	
<b>Persons at risk:</b>	
<b>Person making referral + service area</b>	

**Incident assessment** (severity of PVP action/PEH x Likelihood of recurrence)

#### **Severity of PVP action/PEH (score 1-5)**

**NB.** This is NOT a severity of possible injury assessment.

- 1      Officer felt uneasy due to the intimidating manner of the person  
         Presence of a dog used in an intimidating manner  
         Prevailing environment felt intimidating
  
- 2      Non-contact aggressive gestures e.g. striking the table or wall (frustration)  
         Use of intimidating language (may involve foul language directed at the officer)
  
- 3      Officer prevented from leaving due to PVP barring the way  
         Behaviour intended was regarded as a credible threat  
         Verbal threat of harm/violence to officer, family, property

- Specified/unspecified weapon/dog
- Irrational & or uncontrolled behaviour
- Suggestive/offensive or otherwise unwelcome behaviour, verbal or physical
- 4 Weapons found at location inappropriately stored/without licence
- 5 Actual physical violence towards officer/family, or property damage
- PVP brandishing weapons
- Violence to others in presence of an officer
- Animal attack

**Likelihood of recurrence of incident (score 1-5)**

Nb. This is a consideration of the possibility of the PVP initiating another incident which could cause harm or the remaining PHL remaining such.

- 1 Very unlikely – one incident, very extenuating circumstances, very out of character
- 2 Unlikely – one report; officer did NOT view action as a threat of harm
- 3 Possible – one report; officer DID view action as a real threat
- 4 Likely – one incident recorded causing mental or physical harm to officer/family/property
- 5 Very likely – multiple incidents recorded causing mental or physical harm to officer/family/property

**Risk assessment score (severity of PVP action/PEH x likelihood of recurrence)**

12 Severity of PVP action/PEH (S) =

13 Likelihood of re-occurrence (L) =

14 Risk assessment score = (S) x (L) =

**Score to warrant inclusion on the staff caution list**

Must score a severity of 3 or more or overall risk score of 5+

**Informing the PVP they have been added to the list**

This must be assessed on a case by case basis. The PVP should always be informed unless it can be demonstrated that there is a substantial chance the informing the individual will, in itself, be likely to evoke a violent reaction from the individual.

**Decision**

PVP/PEH to be included on the register: YES/NO

\*\*PVP to be informed of inclusion on the register YES/NO

**\*\*rationale for this decision:**

Signature..... Name.....

Position..... Date.....

### Appendix 3

Risk assessment review of PVP's/ PEH (to be completed by Nominated Officer and original referring manager)

**Review 1**

Date.....

Removal from register? YES/NO

Remain on register and review? YES/NO

Until.....

Rationale for this decision:

Signature.....Name.....

Position.....Date.....

Signature.....Name.....

Position.....Date.....

## Appendix 4

Completing a notification of violent incident/ environmental hazard on SHE system

1. Log on to SHE system and create a new incident. The details below will display:

### What Happened

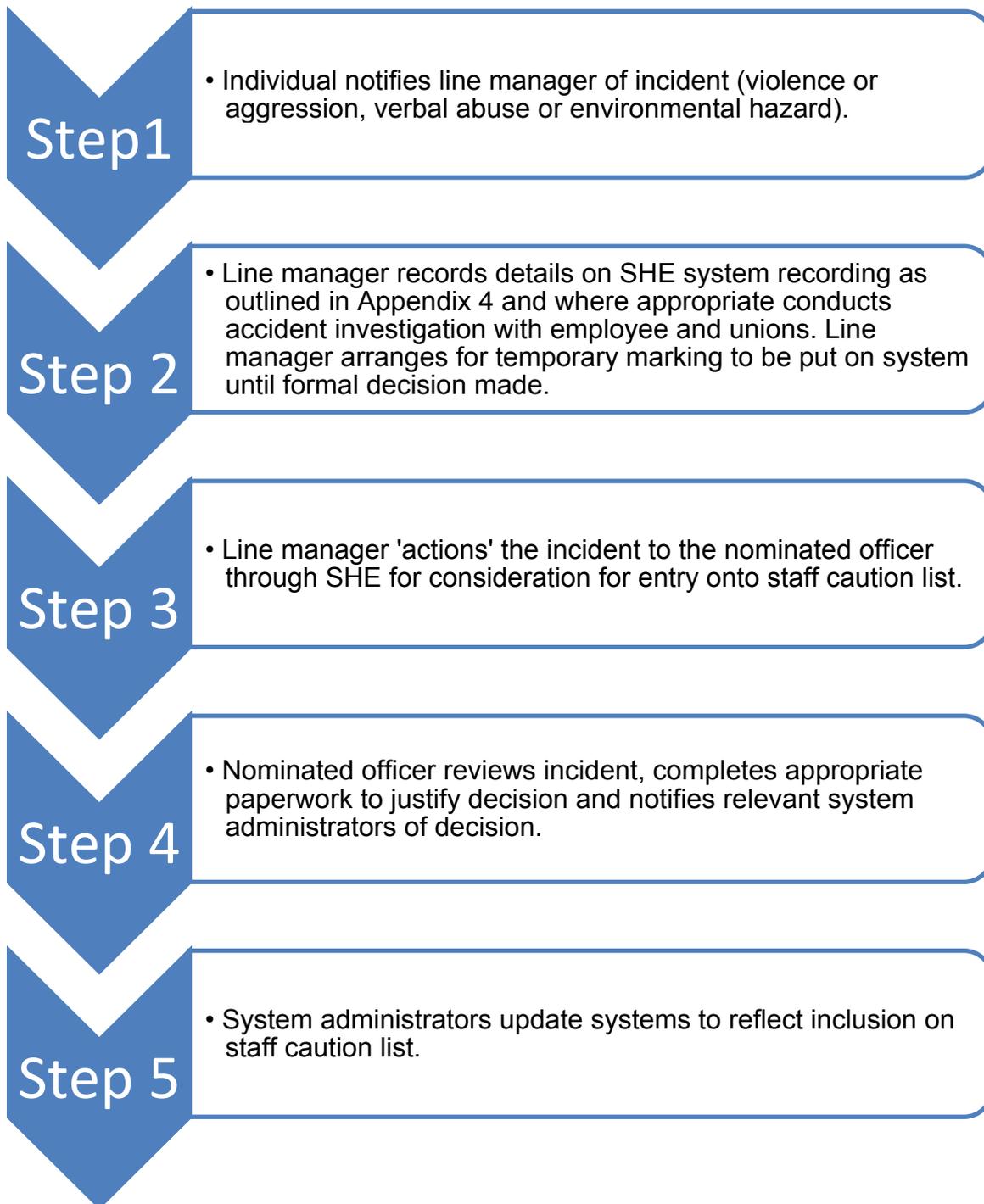
<b>Incident Details</b>	<input type="text" value="Type in what happened here."/>
<b>Incident Severity</b>	<input type="text"/>
<b>Was the Incident work related</b>	<input type="checkbox"/>
<b>Near Miss?</b>	<input type="checkbox"/>
<b>Lost Time Accident?</b>	<input type="checkbox"/>
<b>Reportable?</b>	<input type="checkbox"/>
<b>Type of Dangerous Occurrence</b>	<input type="text"/>
<b>Create RIDDOR Record After Saving This Record</b>	<input type="checkbox"/>

If near miss and no lost time please remember to complete the date returned to work as the same date of incident occurring

2. Enter full details of the incident in the 'incident details' box above. You need to specify what happened, or in the case of an environmental hazard, what the circumstances were. State full details of the incident and why a referral to the staff caution list is needed. To support this and enable a considered decision to be made you must insert the risk code. E.g. CBC1 and state the severity of the incident and give details e.g. level 5 'actual physical violence' (see Appendix 1 for full details)
3. Select from the drop down box the severity of the incident e.g. act of possible anti-social behaviour, hazard-no injury, fatality, minor injury (whichever is appropriate)
4. Complete all the remaining boxes up to 'Create RIDDOR record' as appropriate.

<b>Type of Incident</b>	<input type="text" value="Violence &amp; Aggression"/>
<b>Incident Sub Type</b>	<input type="text"/>
<b>Other Type of Incident</b>	<input type="text"/>
<b>Was the incident violent or abusive?</b>	<input checked="" type="checkbox"/>
<b>Type of Assault</b>	<input type="text"/>
<b>Assailant Status</b>	<input type="text"/>
<b>Please Rate the level of Trauma experienced by Employee</b>	<input type="text"/>
<b>Has the employee been offered counselling</b>	<input type="checkbox"/>
<b>Have the Police been Notified</b>	<input type="checkbox"/>
<b>Was a Weapon Used</b>	<input type="checkbox"/>
<b>Was the Assault racially motivated</b>	<input type="checkbox"/>
<b>Has the employee been assaulted before</b>	<input type="checkbox"/>
<b>Did the incident involve a young person?</b>	<input type="checkbox"/>

5. When you come to the next group of boxes complete as follows
6. Type of incident – select from the drop down box the relevant type e.g. violence and aggression, anti-social behaviour, other
7. The select the appropriate incident sub type e.g. animal, physical attack, verbal abuse
8. If not covered by the above categories type the relevant detail in the 'other type of incident' box beneath
9. Tick the box for violent and abusive as this will create the alert to send to staff caution list referral
10. Choose the type of assault from the drop down menu e.g. intimidation, physical, property damage, racial, self-harm, sexual, threat, verbal.
11. Choose the assailant status from the drop down box as appropriate
12. Rate the level of trauma as appropriate e.g. Level 1, 2 or 3. (This will have a bearing on the risk assessment process)
13. Complete the remaining boxes above.



## Chesterfield Borough Council

### Equality Impact Assessment - Preliminary Assessment Form

The preliminary impact assessment is a quick and easy screening process. It should identify those policies, projects, services, functions or strategies which require a full EIA by looking at negative, positive or no impact on any of the equality groups.

Service Area: HR

Section: HR

Lead Officer: Kate Harley

Title of the policy, project, service, function or strategy the preliminary EIA is being produced for: Managing violence and aggression at work policy

Is the policy, project, service, function or strategy:

Existing

Changed  Yes

New/Proposed

Q1 - What is the aim of your policy or new service?

The policy is a revised and adapted policy to incorporate the policy and procedure for the staff caution list into the existing policy. The aim of this policy is to ensure we have a safe method of working for all our staff and a robust, data protection compliant procedure for staff to refer incidents of violence and aggression for consideration of inclusion on the staff caution list. The policy also provides guidance for staff, managers and others on the process for dealing with incidents of violence and aggression.

The revised policy should benefit all staff and councillors.

Q2 - Who is the policy or service going to benefit?

Q3 - Thinking about each group below, does, or could the policy, project, service, function or strategy have an impact on protected characteristics below? You may also need to think about sub groups within each characteristic e.g. older women, younger men, disabled women etc.

Please tick the appropriate columns for each group.

<b>Group or Protected Characteristics</b>	<b>Potentially positive impact</b>	<b>Potentially negative impact</b>	<b>No impact</b>
Age – including older people and younger people.			✓
Disabled people – physical, mental and sensory including learning disabled people and people living with HIV/Aids and cancer.			✓
Gender – men, women and transgender.			✓
Marital status including civil partnership.			<input checked="" type="checkbox"/>
Pregnant women and people on maternity/paternity. Also consider breastfeeding mothers.			✓
Sexual Orientation – Heterosexual, Lesbian, gay men and bi-sexual people.			✓
Ethnic Groups			✓
Religions and Beliefs including those with no religion and/or beliefs.			✓
Other groups e.g. those experiencing deprivation and/or health inequalities.			✓

If you have answered that the policy, project, service, function or strategy could potentially have a negative impact on any of the above characteristics then a full EIA will be required.

Q4 - Should a full EIA be completed for this policy, project, service, function or strategy?

Yes   
 No

Q5 - Reasons for this decision:

The changes to the policy will not affect any particular grouping of staff as the changes apply to all staff and councillors.

Please e-mail this form to the Policy Service before moving this work forward so that we can confirm that either a full EIA is not needed or offer you further advice and support should a full EIA be necessary.

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## FOR PUBLICATION

### BULLYING AND HARASSMENT POLICY

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MEETING: EMPLOYMENT AND GENERAL COMMITTEE  
DATE: 14 May 2018  
REPORT BY: KATE HARLEY, HR MANAGER.

---

#### **1.0 PURPOSE OF REPORT**

To provide information regarding the introduction of a revised Bullying and Harassment Policy and to recommend for approval the new Bullying and Harassment Policy.

#### **2.0 BACKGROUND**

The Anti-Harassment and bullying policy was overdue due for renewal and has been revised in accordance with employment law, ACAS guidelines and best practice.

The aim of the policy is to fully and promptly investigate any reported allegation of bullying or harassment and take appropriate action which may include an investigation against the offender. All allegations concerning bullying or harassment will be taken seriously and dealt with fairly, sensitively and confidentially by the council and there will be no victimisation of any member of staff making or involved in a complaint.

The changes have been made to simplify the process and ensure all employees understand that Chesterfield Borough Council will not tolerate any behaviour at any level which constitutes bullying or harassment.

In addition the main changes are:

- Updated to reflect the Equality Act 2010
- Clarity on the responsibility of managers and employees
- A framework to distinguish between different styles as to whether behaviours may relate to bullying.
- A clear process following ACAS guidance

#### **3.0 PROPOSED PROCEDURE**

The revised policy can be found at appendix A.

A full Equality Impact Assessment has been completed and is attached at appendix B.

#### **4.0 EMPLOYER – TRADE UNION COMMITTEE**

The proposed policy was submitted to the Employer trade union Committee on 14 March 2018 and was endorsed for submission to Employment and General Committee.

## **5.0 RECOMMENDATIONS**

That the new Bullying and Harassment Policy be approved.

For further information on this report, contact Kate Harley.

# BULLYING AND HARASSMENT POLICY

Prepared by: Human Resources

Date:

For review:

29/03/18

Version 5

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## **SECTION 1: GENERAL GUIDING PRINCIPLES**

### **POLICY STATEMENT**

Chesterfield Borough Council will not tolerate behaviour at any level which constitutes bullying or harassment. Any reported allegation of bullying or harassment will be investigated fully and promptly by the council and appropriate action will be taken which may include an investigation against the offender which could result in disciplinary action up to and including dismissal.

All allegations concerning bullying or harassment will be taken seriously and dealt with fairly, sensitively and confidentially by the council and there will be no victimisation of any member of staff making or involved in a complaint.

Bullying or harassing actions can range from unintentional misunderstandings and lack of awareness through to deliberate and malicious acts.

All employees have the right to be treated with dignity and respect at work as underpinned by the council values. A workplace environment which is free from hostility enables people to contribute more effectively to the council's success and to achieve higher levels of job satisfaction.

This policy is issued by way of guidance on the council's policy and practice. It does not form part of an employee's contract of employment or otherwise have any contractual effect.

### **SCOPE**

The policy shall apply to all council employees, regardless of their status i.e. temporary, permanent or zero hours, contractors, consultants or any self-employed individuals working for the council.

### **PRINCIPLES**

The Equality Act 2010 defines harassment as 'unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual'.

Bullying may be characterised as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient.

Victimisation is where a person is treated less favourably than another because they have brought proceedings, given evidence or information, rejected advances or complained about the behaviour of someone who has been harassing, discriminating against, or in some way intimidating them.

Examples of inappropriate behaviour which may constitute bullying or harassing behaviour in the council include:

- Spreading malicious rumours or insulting someone by word or behaviour;
- Copying memos, letters or e-mails that are critical about someone to others who do not need to know;
- Ridiculing or demeaning someone - picking on them or setting them up to fail;
- Exclusion or victimisation;
- Unfair treatment;
- Overbearing supervision or other misuse of power or position;

- Unwelcome sexual advances - touching, standing too close, display of offensive materials, asking for sexual favours, making decisions on the basis of sexual advances being accepted or rejected;
- Making threats or comments about job security without foundation;
- Deliberately undermining a competent worker by overloading and constant criticism;
- Preventing individuals progressing by intentionally blocking promotion or training opportunities.

While bullying or harassment as described above includes words or conduct which is perceived to be offensive by the recipient, this perception must be reasonable. For example, it would be reasonable for a manager to be assertive in what they say, whereas it would not be reasonable for them to use an aggressive management style in any situation.

Words or conduct which the accused individual cannot reasonably be expected to know is offensive to the recipient, will only be deemed to have the purpose or effect of bullying or harassment if repeated, or persisted in, after the recipient objects and makes it known that they find it offensive.

Complaints should be submitted as promptly as possible and should normally be within three months from the date of the last incident. However, this time limit may be extended under exceptional circumstances and where it is considered reasonable, just and equitable to do so.

It should be noted that concerns raised by a manager over an employee's performance does not in itself constitute bullying or harassment.

At all stages in this procedure the employee (alleged perpetrator and/or complainant) can choose to be accompanied by a Trade Union Representative or a work colleague. The employee is responsible for arranging the attendance of their representative. The individual accompanying the employee should not be directly known to be involved in the allegations and not be acting in a legal capacity. If a disciplinary hearing or subsequent hearing is required the representative is permitted to address the hearing on behalf of the employee but is not permitted to answer questions on behalf of the employee (unless this has been agreed with the panel prior to the hearing).

Employees are expected to foster a working environment in which every employee and member of the public is treated with equal respect and dignity. All employees are expected to contribute to dealing with and preventing bullying or harassment through their own self-awareness, and through supporting colleagues who suffer harassment or bullying.

If it is found that an employee has made a deliberately false or malicious complaint against another employee about harassment or bullying, disciplinary action will be taken against that employee.

HR will provide training, guidance and support to line managers on the operation of this policy at all stages.

## RESPONSIBILITY OF MANAGERS

Bullying and harassment left unchecked or badly handled, may result in poor morale and employee relations, loss of respect for managers, poor performance, lost productivity, absence, resignations and reputational damage. It is in the manager's interest to promote a safe, healthy and fair environment in which people can work. All managers have a responsibility for leading and setting standards of behaviour which are appropriate for a healthy working environment and consistent with the council's values, policies and procedures.

Managers have specific obligations to ensure that employees are aware of the council values and this policy and reflect it in their behaviour.

Managers must seek advice from Human Resources after receiving a complaint whether it be formal or informal in nature and consider an employee's complaint in a fair and reasonable way in line with this policy.

Managers should undertake a stress risk assessment when an employee has raised an issue of bullying or harassment.

Bullying is not about the management of conduct, change or performance although it is recognised by the council that employees may find it difficult to cope with these circumstances. Other aspects of management e.g. the allocation of work or the refusal of specific requests such as time off or changes in hours do not in themselves constitute bullying. The difference lies in the way that employees and managers carry out their duties and there is a difference between firm but fair management practice and a manager who uses a management style that is perceived as bullying by staff.

The table below sets out a framework to make clear the distinctions between the management styles and provides a guide as to whether an employee's concerns may relate to bullying. These behaviours apply to staff at all levels:

<b>Firm but fair</b>	<b>Bullying and harassing</b>
Consistent and fair	Aggressive, inconsistent and unfair
Determined to achieve the best results but reasonable and flexible	Unreasonable and inflexible
Knows their own mind and is clear about their ideas, but willing to consult with colleagues and staff before drawing up proposals	Believes that they are always right, has fixed opinions, believes they know best and not prepared to value other people's opinions
Insists on high standards of service and behaviours in the team	Insists upon high standards of service and behaviour but blames others if things go wrong
Will discuss in private any perceived deterioration before forming views or taking action and does not apportion unwarranted blame on others when things go wrong	Loses temper, regularly degrades people in front of others, and threatens official warning without listening to any explanation
Asks for people's views and listens to the team	Tells people what is happening, does not listen

## **RESPONSIBILITY OF EMPLOYEES**

All employees are responsible for promoting a positive working environment free from bullying and harassment and are expected to ensure that their own conduct is in accordance with the council's values and Code of Conduct policy.

Employees should support the policy by challenging and discouraging offending behaviour, avoid colluding with inappropriate behaviour, co-operate fully in any complaints procedure and support colleagues who are experiencing bullying and harassment through raising any concerns with their line manager, for example.

Employees are encouraged, wherever possible to resolve complaints in an informal manner. This approach should not be used to discourage an employee from using the formal procedure or when an instance of harassment could be of such a serious nature that the complaint would warrant formal action.

In some cases an employee may only perceive that they have been a victim of bullying or harassment because of a course or pattern of conduct over a period of time. If this is the case the employee should seek to resolve their concerns as soon as they perceive they may have been bullied or harassed.

Any employee named as a witness will be expected to co-operate at all stages of the procedure. In particular, they are expected to provide their statements in a timely manner and make themselves available to attend meetings in order to facilitate the case proceeding in accordance with the timescales set out in this procedure.

## **SECTION 2: PROCEDURE**

The council aims to try to resolve issues quickly and informally whenever possible. The three stages to the process are:

1. Informal action
2. Formal action
3. Appeal process

### **1. INFORMAL ACTION**

In some cases where employees feel they may have been or are being bullied or harassed it may be possible to rectify matters informally. Often people are not aware that their behaviour is unwelcome and an informal facilitated discussion can lead to greater understanding and an agreement that the behaviour will cease. An employee may choose to approach the person themselves to discuss the behaviour. However, if an employee feels unable to do this, informal resolution of matters can sometimes be best achieved through timely dialogue with a manager, HR, a Trade Union Representative or work colleague. Alternatively, the employee may decide to write to the alleged harasser about their bullying or harassing behaviour.

Informal action is not appropriate if the employee has fears for their health or safety or if informal resolution has previously been attempted and failed to produce a change in the alleged bully or harasser's conduct.

## 2. FORMAL ACTION

Where the informal procedure is exhausted, or the matter is considered too serious, or the employee does not wish to deal with the matter informally, a formal written complaint should be made by the employee to their manager who will contact HR and a commissioning manager will be identified. Where their manager is the alleged perpetrator the employee should make the complaint to the Head of HR.

The formal complaint should include the following information:

- Clear, specific allegations against the named person(s)
- Where possible, dates, times and witnesses to any incidents
- Relevant documentary evidence
- Details of any informal action taken to address the issue.

An investigating officer will be appointed to conduct the investigation. Consideration will be given to those carrying out the investigation to ensure they reflect the nature of the case, are impartial and are at an appropriate level within the council.

In the event of a serious allegation of bullying or harassment it may be necessary to separate the two parties at the workplace against whom the allegation has been made until a full investigation has been carried out. Every effort will be made to relocate the alleged perpetrator and not the complainant, taking account of skill set unless the complainant specifically asks to be moved. In exceptional circumstances consideration may also be given to whether the alleged perpetrator should be suspended. Suspension will be on full pay and does not constitute disciplinary action.

The council recognises the need to investigate and resolve cases of bullying and harassment in a timely manner, to minimise potential stress to all those involved. The investigation should be completed without undue delay, to establish the facts, interview those concerned and provide the relevant information to decide what action to take. However, such cases are often very complicated and need to be dealt with sensitively and thoroughly to ensure that full consideration is given to each situation.

The investigation meetings will be arranged by the investigating officer, supported by Human Resources. All parties and witnesses who are interviewed should be afforded and should maintain strict confidentiality, although anonymity will not be possible. The investigating officer will normally meet both parties and any relevant witnesses individually. Both parties should be permitted to submit written statements, to be represented or accompanied during the investigation meetings by a trade union representative or a work colleague.

Once the investigation has been completed, the investigating officer will submit a written report to the commissioning manager setting out their findings and making recommendations on what actions should be taken which may include:

- Support for those involved in the case, by providing coping techniques;
- Taking no action, where the allegation has not been substantiated;
- Taking informal or supportive action such as standard setting, additional suitable training, and facilitated discussion.
- Mediation – utilising internal or external third party.
- Relocation of the alleged perpetrator. (Every effort will be made to relocate the perpetrator and not the complainant, taking account of skill set unless the complainant specifically asks to be moved.)
- Convening a Disciplinary Hearing, where there is potential evidence of misconduct;

The commissioning manager will confirm the outcome of the investigation normally within 5 working days of receipt of the investigation report or as soon as is practically possible. A copy of the report will be given to the parties involved together with the outcome with due regard to confidentiality (Appendices will not be included). A meeting with the commissioning manager and a member of HR will be offered to each party to explain the outcome of the investigation.

Where a disciplinary hearing is recommended, it will be held in accordance with the council's Disciplinary Policy. The investigation report can be used as the basis of the management case at a disciplinary hearing. Where there have been serious or repeated incidences of bullying or harassment formal disciplinary action up to and including dismissal may be taken.

Unless dismissal has resulted from the Disciplinary policy, as part of the formal complaint, the line manager involved has a responsibility to ensure that there is some reconciliation between both parties to enable them to work effectively in the future. This will be undertaken and if this fails, relocation may prove necessary and in these cases the alleged perpetrator and not the complainant, should be relocated unless the person complaining requests otherwise.

### **3. APPEAL PROCESS**

Where an employee is not satisfied with the outcome of the investigation they can appeal in writing to the relevant CMT member within 10 working days of receipt of the outcome letter.

The employee's letter of appeal should state the grounds of appeal. The grounds of appeal are:

- On procedural grounds if it affects the merits of the case;
- If new evidence comes to light;
- If the decision appears not to be supported by the evidence.

An appeal hearing will be arranged within 15 working days of receipt of the appeal.

The decision of the appeal process will be final and there will be no other right of appeal.

### **MEDIATION**

Mediation is a voluntary process for resolving interpersonal differences at either an informal or formal stage of the bullying and harassment procedure and would entail a commitment from those involved to participate and work towards a resolution. Mediation should only be considered when the affected employees are openly committed to finding a solution to the issue. If either party is not willing to commit to mediation it should not be seen as a detriment. It can help rebuild relations that have been damaged but should not be used in place of formal procedures; where the health and safety of staff and the public is at on-going risk; or, in place of clear management instruction on expected behaviours/levels of performance.

The process of mediation is designed to help the employees involved to share their experiences, identify the impact of the situation on them, and consider how they need to change and what they need from others to resolve the situation.

Employees will be encouraged to establish a written agreement with the mediator, which will remain confidential, unless all those party to the agreement are prepared to share it. For further information about mediation please contact HR.

## **ON-GOING SUPPORT**

Following a bullying and harassment claim either party may be worried about working with the other again. The council will ensure that on-going support is available for all parties involved if required and consideration given to exploring ways of resolving any remaining difficulties in working relationships.

## **MONITORING**

Formally reported cases of bullying and harassment will be recorded and monitored by Human Resources including outcomes of hearings and appeal decisions.

## **ADDITIONAL SUPPORT**

Any one requiring additional support during any stage of this process should contact HR.

DRAFT

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## Chesterfield Borough Council

### Equality Impact Assessment - Preliminary Assessment Form

The preliminary impact assessment is a quick and easy screening process. It should identify those policies, projects, services, functions or strategies which require a full EIA by looking at negative, positive or no impact on any of the equality groups.

Service Area: HR

Section: HR

Lead Officer: Sandy Gillham-Hardy

Title of the policy, project, service, function or strategy the preliminary EIA is being produced for: Bullying and Harassment Policy

Is the policy, project, service, function or strategy:

Existing

Changed  Yes

New/Proposed

Q1 - What is the aim of your policy or new service?

The aim of the policy is to fully and promptly investigate any reported allegation of bullying or harassment and take appropriate action which may include an investigation against the offender. All allegations concerning bullying or harassment will be taken seriously and dealt with fairly, sensitively and confidentially by the council and there will be no victimisation of any member of staff making or involved in a complaint.

Q2 - Who is the policy or service going to benefit?

The changes have been made to simplify the process and ensure all employees understand that Chesterfield Borough Council will not tolerate behaviour at any level which constitutes bullying or harassment.

In addition the main changes are:

- Updated to reflect the Equality Act 2010
- Clarity on the responsibility of managers and employees
- A framework to distinguish between different styles as to whether behaviours may relate to bullying.
- A clear process following ACAS guidance

Having only a handful of formally reported incidents of bullying or harassment is a positive indicator that this is not a systemic problem across the organisation. Reflecting upon the draft of the policy it highlights the importance of having a bullying and harassment policy in place, which sets the standards expected of all employees and managers in terms of the behaviour and conduct at work. In addition, it is important that the standards expected of staff and managers are widely communicated across the organisation, and that the policy actively encourages and enables employees to make a bullying or harassment complaint or assist in an investigation without feeling vulnerable or isolated.

Q3 - Thinking about each group below, does, or could the policy, project, service, function or strategy have an impact on protected characteristics below? You may also need to think about sub groups within each characteristic e.g. older women, younger men, disabled women etc.

Please tick the appropriate columns for each group.

<b>Group or Protected Characteristics</b>	<b>Potentially positive impact</b>	<b>Potentially negative impact</b>	<b>No impact</b>	<b>Comment</b>
Age – including older people and younger people.			✓	The revised bullying and harassment policy applies to all employees across the council. It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of their age. This policy does not positively or negatively impact different groups of people within the organisation.
Disabled people – physical, mental and sensory including learning disabled people and people living with HIV/Aids and cancer.			✓	It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.
Gender – men, women and transgender.			✓	It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.
Marital status including civil			✓	It has been created with the purpose of ensuring that all staff

partnership.				are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.
Pregnant women and people on maternity/paternity. Also consider breastfeeding mothers.			✓	It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.
Sexual Orientation – Heterosexual, Lesbian, gay men and bi-sexual people.			✓	It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.
Ethnic Groups			✓	It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.
Religions and Beliefs including those with no religion and/or beliefs.			✓	It has been created with the purpose of ensuring that all staff are treated with dignity and respect, irrespective of whether they have a disability or not. This policy does not positively or negatively impact different groups of people within the organisation.

Other groups e.g. those experiencing deprivation and/or health inequalities.			✓	
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If you have answered that the policy, project, service, function or strategy could potentially have a negative impact on any of the above characteristics then a full EIA will be required.

Q4 - Should a full EIA be completed for this policy, project, service, function or strategy?

Yes

No

Q5 - Reasons for this decision:

Please e-mail this form to the Policy Service before moving this work forward so that we can confirm that either a full EIA is not needed or offer you further advice and support should a full EIA be necessary.

## FOR PUBLICATION

### PERFORMANCE DEVELOPMENT REVIEW POLICY

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MEETING: EMPLOYMENT AND GENERAL COMMITTEE

DATE: 14 May 2018

REPORT BY: KATE HARLEY, HR MANAGER.

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#### **1.0 PURPOSE OF REPORT**

1.1 To provide information regarding the introduction of a revised Performance Development Review Policy and to recommend for approval the new Performance Development Review Policy.

#### **2.0 BACKGROUND**

2.1 The Performance Development Review policy was approved in August 2017 and has been revised taking into account feedback to improve the application of the policy.

2.2 The aim of the performance development review (PDR) process is to maximise the effectiveness and potential of each member of staff so that the council successfully achieves its vision, priorities and values.

2.3 In addition the main changes are:

- Enhancing the link of generic objectives for employees to the council values
- Using a competency framework to underpin the council values
- Clarification on the definition for rating objectives
- An overall PDR rating of the employee by the manager based on their performance across the year

### **3.0 PROPOSED PROCEDURE**

- 3.1 The revised policy can be found at appendix A.
- 3.2 An Equality Impact Assessment was completed in 2017 for the original policy and is attached at appendix B.

### **4.0 EMPLOYER – TRADE UNION COMMITTEE**

- 4.1 The proposed policy was submitted to the Employer trade union Committee on 14 March 2018 and was endorsed for submission to Employment and General Committee.

### **5.0 RECOMMENDATIONS**

- 5.1 That the new Performance Development Review Policy be approved.

For further information on this report, contact Kate Harley.

# Performance Development Review policy

Prepared by: Human Resources

Approved by Employment and General Committee: 31 August 2017

Updated: March 2018

For review: August 2020



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## **SECTION 1: GENERAL GUIDING PRINCIPLES**

### **POLICY STATEMENT**

Chesterfield Borough Council are committed to supporting every employee to reach their potential and achieve their learning and development goals, which in turn will assist the council to achieve its objectives. The overall aim of the performance development review (PDR) process is to maximise the effectiveness and potential of each member of staff so that the council successfully achieves its vision, priorities and values.

The PDR policy is an integral part of the council's performance management system. The review is a formal process centred on an annual meeting of each employee and their line manager to discuss their work, supplemented by regular reviews and supervision meetings. The purpose of the meeting is to provide a comprehensive review of progress and development for individuals and to set objectives for the following year. These should align individual employees' goals and objectives with the council's goals and objectives.

Overall the PDR policy should ensure that the council has a clear, consistent and fair approach to reviews which aims to:

- Maximise performance
- Reinforce the council's vision, priorities and values
- Acknowledge good performance
- Set objectives for the year ahead
- Encourage staff development

Completion of the documentation will record the employee's overall contribution to the council's priorities and values of Chesterfield Borough Council and will help employees benefit as much as possible from the PDR process.

This policy is issued by way of guidance on the councils policy and practice. It does not form part of an employee's contract of employment or otherwise have any contractual effect.

### **SCOPE**

The policy shall apply to all council employees, regardless of their status i.e. temporary, permanent or zero hours.

The policy does not apply to contractors, consultants or any self-employed individuals working for the council. Arrangements are in place for providing feedback on performance in respect of staff employed through agencies.

### **PRINCIPLES**

The PDR meeting is only a small part of a process which continues throughout the year during regular reviews (at least half yearly) and supervision meetings. Managers and employees should continually and regularly review progress against agreed goals, make adjustments where necessary and recognise achievements.

It is a manager's responsibility to support individuals in becoming the best they can be. Continual improvement of performance however is the personal responsibility of each individual. Although managers are there to guide and advise staff, the real drive to develop skills and raise performance at work must come from each and every individual.

PDR's should take place between the employee and their line manager on an annual basis between March and May.

Every year, each employee will take part in a meeting with their immediate manager to discuss aspects of their work performance. The objective of the meeting will be to review the previous year's achievements and to discuss any future training, development and career planning relevant to the individual and to the council.

Continuous and constructive dialogue throughout the year between the manager and the employee should inform the content of the meeting, therefore at the PDR meeting there should be no surprises, and the outcome of the discussion should be a clear plan for both participants in terms of taking action to ensure that the employee is enabled to achieve their full potential in the work that they carry out for the council.

Where employees have performed well this should be acknowledged straightaway. Likewise, where performance does fall below expectations this should be dealt with by the manager when it comes to their attention and not left until the next PDR meeting. In certain circumstances this could mean dealing with unsatisfactory work performance related to skill and/or aptitude through the capability policy to help and encourage staff to achieve and maintain the appropriate standards that the council expects of all its employees.

The PDR should focus upon SMART objectives so that the effort it demands from both employees and line managers can be directed towards specific outcomes.

The benefits of a PDR in terms of improved communication and enhanced performance, both for the individuals involved and for the council, will be achieved only by the continuous commitment of all those involved in the scheme.

## **SECTION 2: PROCEDURE**

The PDR should provide a platform for managers and their direct reports to review aspects of job performance on a regular basis so that each individual is provided with the means to perform their job to the best of their ability, and to make the best contribution possible towards the council's goals. The process should provide clear direction towards personal and the council's objectives, so that each individual is able to achieve their potential, gain maximum job satisfaction and contribute towards the council's success.

The PDR should also add value in identifying individual training, development and career needs. Discussions on such needs should focus upon genuinely assisting the employee in acquiring the relevant skills, knowledge and behaviours (competencies) for them to perform well in their current role. Opportunities for advancement or alternative work may also be discussed.

## **OBJECTIVES**

All council employees will have at least 4 generic objectives to ensure consistency of approach across the council. There are a set of objectives for managers/ team leaders and another set for employees who do not manage anyone. See appendix A for more detailed information.

All objectives set in the PDR process should be SMART:

- Specific – have a clear outcome
- Measurable – how can the objective be measured
- Achievable & Agreed – are they achievable by the employee and agreed by both parties
- Realistic – what results can be realistically achieved given the resources
- Time bound – specify when the results will be achieved

The objectives set should be the major goals for the employee for the year and should be supported by a list of steps needed to achieve those goals rather than a list of tasks. These should stretch the employee but be relevant to their experience and time in the role. The objectives should be a mixture of corporate, team and individual ones with a minimum of 4 and a maximum of 6 objectives set for each individual.

For new employee's, and for those who have been promoted to a different role which will require a new range of skills and attributes they will not have had a PDP or objectives previously set which is relevant to their new role. The objectives agreed for the probation period can be used in the PDR and can be used to rate performance against them.

All objectives should be rated using the following definitions:

- Not met – failed to meet the objective
- Partially met – partly met the objective but not fully
- Met in full – fully met the objective
- Exceeded – met the objective and exceeded expectations

## VALUES AND COMPETENCIES

The council's **vision**, **priorities** and **values** show how we will support our communities. The council's **vision** for Chesterfield is '*putting our communities first*'. We have 3 **priorities** to help us achieve our vision:

- *To make Chesterfield a thriving borough;*
- *To improve the quality of life for local people;*
- *To provide value for money services.*

The 4 **values**, underpinned by the competency framework demonstrate how we work are:

- **Customer focused:** delivering great customer service, meeting customer needs
- **Can do:** striving to make a difference by adopting a positive attitude
- **One council, one team:** proud of what we do, working together for the greater good
- **Honesty and respect:** embracing diversity and treating everyone fairly

The 4 values (linked to the competency framework) should be rated using the following definitions:

- Significant development needed - Fails to meet minimum performance expectations for the role.
- Development needed - Some room for improvement in order to demonstrate a consistent and competent level of performance
- Competent - Performs well, contributes and carries out role effectively. Valuable member of the team.
- Significant strength - Overall excellent performer who exceeds expectations.

Employees are asked to use the **STAR** acronym to structure a response around specific examples to quantify their success around values. The STAR acronym:

- **Situation** - set the context for the examples e.g. I was due to jointly deliver a presentation and my colleague had an accident on the way to the event so could not attend.
- **Task** – what was required of you e.g. It was my responsibility to find someone else to present with me so we didn't waste the opportunity and it didn't reflect badly on the Council.
- **Activity** - what exactly did you do e.g. I spoke to the event organiser and they agreed to let me present later in the day so I had more time. I contacted another colleague who was able to drop what she was doing and come to the event to deliver the presentation with me.
- **Result** - how well did it work out e.g. We explained the situation to the delegates and my colleagues presentation went well, As a result we made some good contacts which should benefit our team in the future.

### **PREPARING FOR A PDR AS AN EMPLOYEE**

- Ensure you are available for the date, time and venue set.
- Allow 2 hours in your diary for the PDR.
- Review your own performance over the past 12 months and make notes. It is your responsibility to fully prepare for the discussion, including collating any relevant evidence to share at the discussion to support your self-assessment. Your self-assessment should include how you would score your contribution in each of the areas.
- Review your objectives from the previous years' appraisal. If there are any mitigating circumstances that have inhibited you achieving your objectives, go to the meeting prepared to discuss them.
- Prepare examples relating to each of the values to show how you have demonstrated these.
- Remember this is a great opportunity to have an open and honest dialogue and should be seen as a positive experience.
- Don't be late and do not cancel unless **absolutely essential**.

### **PREPARING FOR A PDR AS A LINE MANAGER**

- A new manager must have completed the PDR training prior to conducting their first PDR.
- The employee must be given at least two weeks' notice of their PDR meeting.
- A mutually convenient time, day and venue should be set.
- Conduct the PDR in a quiet place where you will not be disturbed.
- Allow 2 hours in your diary for the PDR.
- The PDR is a review of an individual and should **never** be conducted in a team environment.
- When you send the employee being reviewed an invitation to their PDR remind them of the process on aspire learning and ensure you have their previous objectives to review.
- Ask the employee to consider and prepare for all sections of the PDR, including providing evidence and how they would score their contribution in each of the areas.
- If they have had a previous PDR, ensure you both have copies of this prior to the meeting to allow you to see some context.
- Remember this is a great opportunity to have an open and honest dialogue and should be seen as a constructive experience.
- If there are issues with performance they should have been raised at the time and addressed through the capability policy. Issues discussed during the PDR should never be a surprise to the employee. You should help and encourage staff to achieve and maintain

the appropriate standards that the council expects of all its employees across the entire year not just at the PDR meeting.

- Do not be late for the meeting.
- Ensure your colleagues and your line managers know you are not to be disturbed and do not cancel the meeting unless it is **absolutely essential**.

## **THE STRUCTURE OF THE PDR**

- Open the review with a friendly chat to set the climate and relax the person.
- Explain the purpose and scope of the PDR.
- Ensure it is a 2 way conversation throughout the review.
- There are 4 sections to the PDR:
  - Section 1: Review of performance
  - Section 2: Values and behaviours
  - Section 3: Career Development
  - Section 4: Summary

### **Section 1: Review of performance ('what' has been achieved)**

- Record all learning and development opportunities during the past 12 months.
- Identify whether the individual has achieved the SMART objectives you both agreed the previous year.
- Identify areas of success where those objectives have been met/ exceeded and those that have been partially/not met. Where an objective has not been met due to external factors list all the evidence of mitigation provided by the employee.
- Assess performance for each objective, rate and add any overall comments.

### **Section 2: Values, behaviours and competencies ('How' the performance has been achieved)**

- Within each of the 4 categories identify whether the individual has demonstrated the values and behaviours.
- Identify specific comments to support the achievements or areas for development.
- Assess overall performance for each value and behaviour, rate and add any overall comments. Note that the rating is not solely based on the examples provided by the employee – it is an overall review of performance across the year.

### **Section 3: Career Development**

- Discuss what the individual's career aspirations are; this is not only in order to make reference to their desire to improve or progress but could be a wish to diversify their skills, or develop themselves in a different arena whilst retaining the same status.
- Objectives for the year ahead should be jointly discussed and agreed using the principles above.
- Identify the individual's learning and development needs for the forthcoming 12 months.
- Any learning and development opportunities should focus on the competence and skills identified in the person specification for the post the employee occupies.
- All learning and development undertaken should be relevant to the needs of the employee/ team/ council.

### **Section 4: Summary (the 'what' and 'how')**

- Employee to review, comment and approve.
- Line manager to review, comment and approve.

- The line manager should submit the completed PDR to their line manager, within 2 weeks of the meeting, for countersignatory comments.
- Any further comments can be added in this section which have not been already covered.

In the summary section the manager should give the employee a rating based on their overall performance during the year taking into account the ratings achieved for objectives and values, using the following definitions:

- Below expectations – consistently low in performance of the role. Regularly fails to meet objectives set and behaviour falls short of standards expected. Major improvement is required. (Employees who fall into this category may be those who have strengths in one or two areas but are underperforming in the majority of their role, or the most significant parts of their role. It is likely that they have ‘not met’ the majority of their objectives and have been rated as 1-2 on the majority of the values. It is likely that employees in this category would be on a performance improvement plan under the formal capability process, and the PDR meeting should not be the first time the shortfalls in performance have been discussed)
- Marginally below expectations - inconsistent in the performance of the role. Occasionally fails to meet required standards and acceptable levels. Improvement is required. (Employees in this category are likely to be those who have met the majority of their objectives and rated 2-3 on the values. Whilst this marking wouldn’t invoke formal capability action, an informal performance improvement plan may be necessary to support the employee and remediate performance.)
- Fully meets expectations – consistent and satisfactory level of performance which is consistently maintained. Regularly achieves desired expectations. (Employees in this category are the backbone of the organisation and it is likely that they have met all objectives in full and achieved a 3 on all values)
- Significantly exceeds expectations – a consistently high level of achievement of objectives supported by significant strength demonstrated in the majority of values (Employees in this category will have exceeded most of their objectives and demonstrated exemplary behaviour, acting as a role model for the organisation. Values will have been demonstrated to a high level)

## **MID YEAR REVIEW**

A mid-year review should be carried out for each employee and is an opportunity to review progress against objectives and learning agreed in the Performance Development Plan. (PDP)

## **COMPLETED PDR's**

The PDR form should be completed within two weeks of the PDR meeting and must be kept absolutely confidential. The PDP will be used to identify learning needs and a training plan for the forthcoming year. The completed PDR form is a working document and as such be continually referred to and reviewed throughout the PDR year.

## **SUPERVISION**

The day-to-day supervision of employees by their immediate manager represents the essence of performance management; the formal PDR process merely builds on what should be an everyday practice. Managers should attempt to resolve performance shortcomings through day-to-day management practices. It is important that they do not "save up" issues until the next meeting under the formal procedure.

Regular supervision meetings should be held between the employee and the line manager throughout the year. The frequency should be every 4 to 6 weeks as a minimum with a structured discussion to include:

- An active interest in the performance of individuals and teams;
- Feedback on exemplary performance at the time that it occurs, thereby reinforcing it;
- Feedback on instances of unsatisfactory performance by explaining the problem, listening to the individual's side of the story, and explaining what improved performance should look like and how it can be achieved; and
- Remedial action to improve specific instances of unsatisfactory performance is arranged - where, for example, formal training is involved, the issue may need to be discussed again as part of the formal PDR process.

### **LONG TERM ABSENCES**

If employees are absent during a PDR year, objectives and timescales should be reviewed to accommodate the absence where possible. Absences due to a disability or maternity should not affect the overall outcome of the PDR.

### **MULTIPLE POST HOLDERS**

Employees who have more than one post may receive more than one PDR meeting where they report to more than one manager. Where it is reasonable the narrative on an employee's performance from all managers should be combined into one PDR to be submitted. Where this is not reasonable, for example the posts differ greatly, the main post held will be the PDR which should be completed as a minimum. Any additional PDR's should be completed and submitted to HR.

The main post the employee holds will be the PDR which should be completed by the employee and line manager as a minimum.

### **SECONDMENTS**

Where an employee is on a secondment the managers of both the substantive and secondment position should meet and take joint responsibility to agree the overall outcome of the review period, and take any actions required; this is particularly important where the employee has occupied both posts during the PDR period.

### **CAPABILITY**

It is important that managers deal with unsatisfactory performance quickly and effectively, as any inaction may be seen as condoning the poor performance. The longer the issue persists then the harder it may be to resolve. On-going feedback should be provided to employees through regular supervision meetings and the capability policy invoked if poor performance continues.

### **REQUEST FOR REVIEW**

Any employee who feels that their PDR was unsatisfactory or unfair to them, may ask that their line manager's manager review the PDR with them and the line manager.

### **ADDITIONAL SUPPORT**

Any one requiring additional support during the PDR process should contact HR.

**GENERIC OBJECTIVES**

As part of the commitment to the workforce development and in response to concerns expressed in employee surveys, it has been agreed that all managers/ team leaders will have corporate objectives set for 2018/19 to ensure consistency of approach to management across the council.

The objective headings at **Appendix B** are mandatory for all managers/team leaders however the SMART objectives need to be tailored to individual's specific roles.

For example, the **Health and Safety** objectives for a manager/team leader in commercial services is likely to focus on ensuring the safety of all operatives, training on machinery and risk assessments, whereas the same objective for a manager with office based staff would focus on DSE risk assessments and office related matters. As a minimum the objective should encompass the relevant topics from the following list (this is not an exhaustive list):

- Risk assessments are up to date and employees are aware of them
- Stress risk assessments are carried out annually and acted upon; individual stress risk assessments are undertaken as necessary; management are proactive in resolving issues to prevent stress
- Staff training is up to date on health and safety matters
- Accident/incident reporting is undertaken as per policy
- Work related causes of ill-health are addressed and accidents are prevented as far as possible; equipment provided for reasonable adjustments in a timely fashion; number of days lost through work-related absence reduced

For the **budget & risk** objective the following areas may be appropriate:

- Delivery of service within budget and targets set for increased income or increased efficiencies or % reduction in overtime/agency costs
- Ensure all staff undertake mandatory training in specified areas e.g. safeguarding, health and safety, data protection and information security
- Ensure staff are aware of and adhere to principles of data security, taking action to address breaches of security
- Engender a culture of continuous improvement and encourage staff to produce efficiencies and improved ways of working by discussing at team meetings

For **performance** objective this would cover areas where there are already targets or standards set, or some may be developed to focus performance such as:

- Customer service targets
- Numbers of planning applications received and processed on time
- Numbers of visitors to Chesterfield/ increase value of visitor economy
- Sustain occupancy levels of town centre outlets
- Maintain or achieve green flag status
- Increase sales by x% in theatres/leisure centres/ commercial services
- Satisfaction with parks and open spaces

As far as possible, specific individual targets must be set to ensure the individual has a performance focus.

For the **Management** objective this must include the items listed in the table below including PDR's, team Meetings, action to address employee survey results and absence management.

For the **service specific** objectives these must be linked to the service and cover anything not listed in the objectives described above. E.g. procure new vehicle fleet by March 2018 abiding by council procurement policies delivering x% efficiency on previous contract; increase sales of gym membership by x% by March 2019 etc.

If you have any issues in setting objectives or need training or guidance please contact HR for support and advice.

It is intended that **all** employees will have standard SMART objectives that follow from management objectives see **Appendix C**. Therefore all staff will have objectives which should stretch them relating to:

- **Health and Safety/ compliance**- this would include their responsibility for their own and others; use of equipment; following correct procedures etc.
- **Continuous improvement** – applying LEAN principles and ensuring efficiencies (financial or service improvements) are continually explored
- **KPI's/Performance** – meeting service related standards and KPI's
- **Development** – making sure they address their development needs to ensure they are able to continue to develop in their role e.g. apprenticeships; IT training; mandatory and other aspire learning courses
- **Service specific** – anything specific to the service and not covered above.

**Manager/Team Leader/Supervisor objectives**

Objective	Measures to achieve objective
<p>Health &amp; Safety:-</p> <ul style="list-style-type: none"> <li>• Provide and maintain a safe working environment for all employees, contractors and workers within your team abiding by the Corporate Health &amp; Safety Policy</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure all staff have been trained to the appropriate level for their role and 100% attend refresher training as required</li> <li>• Ensure all staff are aware of accident reporting procedures and that all accidents are investigated as per the policy within agreed timescales and reported on SHE system within 7 working days</li> <li>• Ensure that suitable and sufficient risk assessments are in place, communicated to staff and are reviewed on a regular basis and always after a reported accident/incident</li> <li>• Tackle causes of injuries and ill-health across your service demonstrating where specific actions have been taken</li> <li>• Take action to reduce the number of days lost due to accidents/incidents within your service area by 10% year on year</li> <li>• Ensure that annual stress risk assessments undertaken and actions plans developed to prevent incidents of stress</li> </ul>
<p>Budget &amp; Risk:-</p> <ul style="list-style-type: none"> <li>• Contribute to balanced budget taking action to deliver services within budget allocation spending wisely</li> <li>• Take a balanced approach to risk management</li> <li>• Encourage a culture of continuous improvement</li> <li>• Increase revenue (where appropriate)</li> </ul>	<ul style="list-style-type: none"> <li>• Deliver services within budget seeking opportunities to maximise income and producing efficiencies where possible. Reduce overtime spend (where appropriate) by x%.</li> <li>• Develop a service risk register and report against risks on a monthly basis</li> <li>• Ensure Data Protection principles applied throughout team and security matters discussed on a regular basis taking action to remedy risks identified.</li> <li>• Discuss continuous improvement at team meetings, supporting employees to deliver on identified efficiencies</li> </ul>

<p>Performance:-</p> <ul style="list-style-type: none"> <li>• Drive up team and individual performance in your service by setting stretching individual targets and objectives, recognising and rewarding high performance</li> </ul>	<ul style="list-style-type: none"> <li>• Engage all staff annually in the business planning process taking into account the team views on deliverables.</li> <li>• Achieve all service performance targets and contribute to overall council plan objectives</li> </ul>
<p>Management (absence, team meetings, EPD's)</p>	<ul style="list-style-type: none"> <li>• Ensure managing attendance policy followed and warnings administered where appropriate. Ensure all return to work meetings undertaken with 48hours of employee return to work and referrals to OH made where necessary.</li> <li>• Promote culture of attendance at work by ensuring attendance standards communicated to staff, proactive and supportive management of absence and reasonable adjustments provided where appropriate</li> <li>• PDR's completed on time with learning needs identified, apprentice/upskilling opportunities maximised and quality performance discussion held, taking action as per capability policy to address shortfalls in performance</li> <li>• Increase employee engagement scores by developing employee survey action plan and taking relevant action to improve results</li> <li>• Hold regular team meetings to communicate core brief and/or key messages from CMT/SLT.</li> </ul>
<p>Service specific – tourism</p> <ul style="list-style-type: none"> <li>• Provide a comprehensive and high quality information service on Chesterfield and the surrounding area to both residents and visitors, in person, by telephone and by electronic means.</li> <li>• Sell services and tickets for Chesterfield Theatres.</li> <li>• Encourage people to visit Chesterfield, stay longer in the area, make the most of their visit and contribute to the town's economy.</li> </ul>	<ul style="list-style-type: none"> <li>• Achieve 95% customer satisfaction levels</li> <li>• Achieve 75% calls answered on the VIC booking line</li> <li>• Achieve 60% net promoter score for the Pomegranate Theatre and to achieve 45% net promoter score for the Winding Wheel.</li> <li>• Achieve 75% calls answered on the Pomegranate booking line</li> <li>• Increase the value of the visitor economy by at least 5%, bringing in an additional £7m per annum</li> </ul>

Employee objectives

Heading	SMART objective
<p><b>Health and Safety/compliance:</b>  <i>e.g. follow relevant risk assessments; ensure workstation appropriately set up; notify manager of health and safety risks if identified; adhere to data protection laws</i></p>	<p>To be involved in the preparation of risk assessments for events and to follow these during event delivery.</p> <p>To follow risk assessments for working the Visitor Information Centre and Museum, raising issues identified with management            To take responsibility for own and others health and safety, raising any risks identified with management to prevent accidents.</p> <p>Adhere to data protection rules.</p>
<p><b>Continuous improvement:</b>  <i>e.g. Manage time efficiently; continually identify efficiencies in ways of working; manage budgets appropriately (even if relates to stationery budget)</i></p>	<p>To identify improvements to events and promotional material -minimum of 5 per year.            To review working practices on a constant basis making recommendations to managers for improvement.</p>
<p><b>KPI/Performance:</b>  <i>e.g. meet customer service standards; improve number of visitors; sell more tickets/goods;</i></p>	<p>To increase the value of the visitor economy by at least 5% year on year bringing in an additional £7m per annum.</p> <p>To achieve 455,000 visits to the Chesterfield Tourism website.</p> <p>To set a baseline for visits to the Museum pages on the Chesterfield Borough Council website.</p> <p>To deliver a minimum of 5 major events in Chesterfield per year.</p> <p>To deliver a minimum of 45 events at Chesterfield Museum, Revolution House etc.</p>

<p><b>Development:</b>  e.g. <i>attend all mandatory training; identify and engage with opportunities for development within service area (IT skills; commercial skills)</i></p>	<p>Complete all mandatory training in required timescales.</p> <p>Attend all relevant free museum courses provided by MDEM.</p> <p>Attend IOSH Level 4 for Exhibitions and Events if a course is available and affordable.</p> <p>Attend ILM Level 3</p>
<p><b>Service specific:</b></p>	<p>To raise the profile of Chesterfield as a visitor and shopping destination with the aim of increasing footfall and supporting the local economy by x%</p> <p>To build and develop the new Chesterfield tourism website by 1<sup>st</sup> March 2019</p> <p>To maintain records on all tourism and museum websites using various content management systems, on a monthly basis.</p> <p>To increase the use of social media as a platform to raise Chesterfield's profile by 10% per year as measured by site traffic statistics.</p>

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**Chesterfield Borough Council**  
**Equality Impact Assessment - Preliminary Assessment Form**

The preliminary impact assessment is a quick and easy screening process. It should identify those policies, projects, services, functions or strategies which require a full EIA by looking at negative, positive or no impact on any of the equality groups.

Service Area: HR  
Section: HR  
Lead Officer: Sandy Gillham-Hardy

Title of the policy, project, service, function or strategy the preliminary EIA is being produced for: Performance Development Review Policy

Is the policy, project, service, function or strategy:

Existing   
Changed   
New/Proposed

Q1 - What is the aim of your policy or new service?

The overall aim of the performance development review (PDR) process is to maximise the effectiveness and potential of each member of staff so that the council successfully achieves its vision, priorities and values.  
Chesterfield Borough Council are committed to supporting every employee to reach their potential and achieve their learning and development goals, which in turn will assist the organisation to achieve its objectives.

Q2 - Who is the policy or service going to benefit?

The PDR policy should ensure that the council has a clear, consistent and fair approach to reviews which aims to maximise performance, reinforce the council's vision, priorities and values, acknowledge good performance, set objectives for the year ahead and encourage staff development.

The PDR policy applies to all council employees, regardless of their status ie temporary, permanent or zero hours.

Q3 - Thinking about each group below, does, or could the policy, project, service, function or strategy have an impact on protected characteristics

below? You may also need to think about sub groups within each characteristic e.g. older women, younger men, disabled women etc.

Please tick the appropriate columns for each group.

<b>Group or Protected Characteristics</b>	<b>Potentially positive impact</b>	<b>Potentially negative impact</b>	<b>No impact</b>
Age – including older people and younger people.			✓
Disabled people – physical, mental and sensory including learning disabled people and people living with HIV/Aids and cancer.			✓
Gender – men, women and transgender.			✓
Marital status including civil partnership.			✓
Pregnant women and people on maternity/paternity. Also consider breastfeeding mothers.			✓
Sexual Orientation – Heterosexual, Lesbian, gay men and bi-sexual people.			✓
Ethnic Groups			✓
Religions and Beliefs including those with no religion and/or beliefs.			✓
Other groups e.g. those experiencing deprivation and/or health inequalities.			✓

If you have answered that the policy, project, service, function or strategy could potentially have a negative impact on any of the above characteristics then a full EIA will be required.

Q4 - Should a full EIA be completed for this policy, project, service, function or strategy?

Yes   
 No

Q5 - Reasons for this decision:

The new PDR form is available via aspire to simplify the process, however, paper versions are available to employees without access to aspire.

Please e-mail this form to the Policy Service before moving this work forward so that we can confirm that either a full EIA is not needed or offer you further advice and support should a full EIA be necessary.

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