

Borough Council of  
**King's Lynn &  
West Norfolk**



# **Corporate Performance Panel**

## **Agenda**

**Monday, 21st October, 2019**  
at 6.00 pm

in the

**Council Chamber  
Town Hall  
Saturday Market Place  
King's Lynn**





**King's Court, Chapel Street, King's Lynn, Norfolk, PE30 1EX**  
**Telephone: 01553 616200**

11 October 2019

Dear Member

**Corporate Performance Panel**

You are invited to attend a meeting of the above-mentioned Panel which will be held on **Monday, 21st October, 2019 at 6.00 pm** in the **Council Chamber - Town Hall, Saturday Market Place, King's Lynn PE30 5DQ** to discuss the business shown below.

Yours sincerely

Chief Executive

**AGENDA**

**1. Apologies**

**2. Minutes (Pages 6 - 28)**

To approve the minutes from the Corporate Performance Panel held on 9 September 2019.

**3. Declarations of Interest**

Please indicate if there are any interests which should be declared. A declaration of an interest should indicate the nature of the interest (if not already declared on the Register of Interests) and the agenda item to which it relates. If a disclosable pecuniary interest is declared, the Member should withdraw from the room whilst the matter is discussed.

These declarations apply to all Members present, whether the Member is part of the meeting, attending to speak as a local Member on any item or simply observing the meeting from the public seating area.

**4. Urgent Business Under Standing Order 7**

To consider any business which, by reason of special circumstances, the

Chairman proposed to accept as urgent under Section 100(b)(4)(b) of the Local Government Act 1972.

**5. Members Present Pursuant to Standing Order 34**

Members wishing to speak pursuant to Standing Order 34 should inform the Chairman of their intention to do so and on what items they wish to be heard before the meeting commences. Any Member attending the meeting under Standing Order 34 will only be permitted to speak on those items which have been previously notified to the Chairman.

**6. Chairman's Correspondence (if any)**

**7. Corporate Complaint Policy (Pages 29 - 38)**

**8. Managing Unreasonable Complainant Behaviour (Pages 39 - 45)**

**9. Formal Complaints against the Borough Council 1 April 2018 to 31 March 2019 and Compliments received - REPORT TO FOLLOW**

**10. Q1 2019/2020 Corporate Performance Monitoring Report (Pages 46 - 55)**

**11. Panel Work Programme 2019/2020 (Pages 56 - 60)**

To note the Panel's Work Programme for 2019/2020.

**12. Cabinet Forward Decisions List (Pages 61 - 63)**

**13. Date of Next Meeting**

To note that the date of the next meeting of the Corporate Performance Panel will take place on 26 November 2019 at 6 pm in the Council Chamber, Town Hall, Saturday Market Place, King's Lynn.

**14. FOR INFORMATION ONLY: Employment Monitoring Figures - Annual Report (Pages 64 - 78)**

**15. FOR INFORMATION ONLY: Annual Sickness Monitoring Report (Pages 79 - 93)**

To:

**Corporate Performance Panel:** B Ayres, P Beal, J Collop, S Dark (Chair), A Dickinson, C Hudson, H Humphrey, C Manning, J Moriarty, D Pope, C Rose and D Tyler

**Portfolio Holders:**

Councillor B Long, Leader

**Officers:**

Lorraine Gore, Chief Executive

Honor Howell, Assistant Director

Becky Box, Policy, Performance and Personnel Manager

**Management Team Representative:**

D Gates, Executive Director Community and Central Services

**BOROUGH COUNCIL OF KING'S LYNN & WEST NORFOLK**

**CORPORATE PERFORMANCE PANEL**

**Minutes from the Meeting of the Corporate Performance Panel held on Monday, 9th September, 2019 at 6.00 pm in the Council Chamber - Town Hall, Saturday Market Place, King's Lynn PE30 5DQ**

**PRESENT:** Councillor S Dark (Chair)  
Councillors J Collop, A Dickinson, C Hudson, H Humphrey, C Manning,  
J Moriarty (Vice-Chair), D Pope, C Rose and D Tyler

**Portfolio Holders:**

Councillor I Devereux – Environment  
Councillor B Long – Leader

**Under Standing Order 34:**

Councillor A Ryves for all items

CP30 **APOLOGIES**

There were no apologies for absence.

CP31 **MINUTES**

The Minutes of the meeting held on 22 July 2019 were agreed as a correct record and signed by the Chairman.

CP32 **DECLARATIONS OF INTEREST**

There were no declarations of interest.

CP33 **URGENT BUSINESS UNDER STANDING ORDER 7**

There was no urgent business.

CP34 **MEMBERS PRESENT PURSUANT TO STANDING ORDER 34**

Councillor A Ryves for all items.

CP35 **CHAIRMAN'S CORRESPONDENCE**

There was no Chairman's correspondence.

CP36 **EXCLUSION OF PRESS AND PUBLIC**

**RESOLVED:** That under Section 100(A)(4) of the Local Government Act, 1972, the press and public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A to the Act.

CP37 **EXEMPT ITEM: HUNSTANTON SAILING CLUB**

Tony Devenish representative from Hunstanton Sailing Club gave an overview of the objectives, memberships, competitions, training, activities and venue hire.

The representative from Hunstanton Sailing Club responded to questions relating to:

- Events including how they were publicised.
- Membership figures/costs.
- Annual Plan which would be published on the Sailing Club's website when available.
- Borough Council representative as an observer role.
- Contact with governing organisations to attract/encourage regional and national events.
- Engagement with primary and secondary schools to encourage younger children to participate in activities.
- Club open to non-members.

The Chair thanked the representative from Hunstanton Sailing Club for attending and giving an update report to the Panel and wished the club every success for the future.

**RESOLVED:** An annual update be presented to the Panel either by the Borough Council representative or a representative from Hunstanton Sailing Club.

**RETURN TO OPEN SESSION**

CP38 **CORPORATE BUSINESS PLAN 2020-2024**

The Senior Policy and Performance Officer presented that Corporate Business Plan, which set the broad framework for the council's work over the next four years. It was highlighted that following the Borough Elections, it was timely to review the four year plan and the report set out the indicative process and timetable and a high level view of proposed priorities and objectives for the Panel to consider.

Members of the Panel divided into two workshop groups to explore ideas to help inform the Corporate Business Plan. The Senior Policy

and Performance Officer collated the suggestions of the Panel and advised that he would bring back a more detailed report to the Panel at their next meeting.

The Chair invited the Panel to forward any additional suggestions to the Senior Policy and Performance Officer by 13 September 2019.

In response to a question from Councillor Moriarty on how those Councillors not on Panels would be involved, the Senior Policy and Performance Officer explained that an article would be published in the Member's Bulletin inviting comments.

Councillor Pope commented that once the plan was finalised, it would only leave a three year period for the plan until the next election. In response, the Senior Policy and Performance explained that in order to provide stability to the authority, the plan would include a short period following the next borough election.

The Chair commented that he had found the workshop session to be both meaningful and useful and thanked the Senior Policy and Performance Officer.

**RESOLVED:** 1) The Panel considered and commented on the draft priorities and objectives.

2) The Panel to receive a more detailed report at their next meeting.

CP39 **EQUALITIES UPDATE**

The Policy, Performance and Personnel Manager gave a PowerPoint presentation (copy attached) and explained that the Council's Equality Policy was reviewed during 2017 and a new policy was agreed by Cabinet and Council in January 2018. It was noted that a part of the review process, it was agreed that an annual equalities update should be reported to the Corporate Performance Panel.

The Chair thanked the Policy, Performance and Personnel Manager for the presentation and invited questions from the Panel, a summary of which are set out below.

In response to a question from Councillor Humphrey, on the role of the Corporate Equalities Group and frequency of meetings, the Policy, Performance and Personnel Manager explained that if an urgent complaint/grievance had been received, a meeting of the group could be called if required. It was highlighted that a monitoring process was in place if a complaint/grievance was received. During the current monitoring period, it was confirmed that no grievances had been received.



Following questions from Councillor Moriarty, the Policy, Performance and Personnel Manager explained that when the council let contract/tenders equality was given full consideration early in the process and advised that the council's contract standing orders were currently being reviewed.

In response to a question on the diversity of the council's workforce, the Policy, Performance and Personnel explained that the council had an increasingly diverse workforce and explained that during the recruitment process there was monitoring of equalities issues but that following the interview, the best candidate for the vacancy would be offered the position. The Leader commented that he had observed an increase in diversity in the council's workforce and explained that some good employees from European countries had gained experience with the borough council and had subsequently left the authority to take up a position in another part of the country.

The Chair asked if the data available allowed the council to identify rural areas where services were not being received. In response, the Policy, Performance and Personnel Manager explained that the detail could not be obtained from the data collated. However, the Panel was given an example of the consultation on the closure of the Customer Information Centre in Hunstanton, where an equalities impact assessment had been undertaken and the borough council looked at alternative options to provide the service to the public.

In response to a further question from the Chair on the review of the council's Equalities policy in 2020, the Policy, Performance and Personnel Manager explained that the Corporate Performance Panel would be consulted on the review of the policy.

**RESOLVED:** The Panel to receive an annual update in 2020.

#### CP40 **CABINET FORWARD DECISIONS LIST**

The Chair invited the Panel to consider the Cabinet Forward Decision List and identify any items for the Panel's work programme.

A discussion took place on the Cabinet Forward Decision List for 24 September 2019 and which Panel should look at the Cinema Development Tender Results report. The Leader advised that the Regeneration and Development Panel had looked at the cinema proposal and reminded the Panel that all Councillors could request to attend any meeting of the council under Standing Order 34 and that all agendas were available to view on Mod Gov.

The Chair explained that the Cabinet Decision Sheet was published and that with the required number of supports, a Councillor could call in a Cabinet decision.

**RESOLVED:** Following completion of the Cinema project, the Corporate Performance Panel under a post implementation review.

CP41 **PANEL WORK PROGRAMME 2019/2020**

Councillor Moriarty proposed that the Panel review the performance of the Borough Council Elections held in May 2019 and the wider performance of elections in general in February 2020 which was agreed by the Panel. The Chair explained that the item would be discussed at the next sifting meeting.

The Chair invited Members to forward any items for the work programme via the eform.

CP42 **DATE OF NEXT MEETING**

The next meeting of the Corporate Performance Panel would take place on 21 October at 6.00 pm in the Council Chamber, Town Hall, Saturday Market Place, King's Lynn.

**The meeting closed at 8.21 pm**

# Annual Equalities Update 2019

Becky Box, Policy, Performance and Personnel Manager

Borough Council of  
King's Lynn &  
West Norfolk



# Background

- New corporate Equality Policy developed during 2017
- Policy approved by:
  - Cabinet 9<sup>th</sup> January 2018
  - Full Council 25<sup>th</sup> January 2018
- First annual update to CPP – September 2018



# Equality Policy

The policy sets out the Council's commitment to ensuring equality for all residents of and visitors to west Norfolk, and to its employees.

And how this will be achieved through:

- The delivery of accessible, fair services
- Treating our employees and service users with fairness and respect
- Ensuring all contractors and other third party organisations we work with share our commitment to equalities



# The Public Sector Equality Duty

The Equality Act 2010 placed a requirement on all Local Authorities to comply with the Public Sector Equality Duty. The Equality Duty aims to promote and protect the dignity of all persons in society, and covers all nine protected characteristics.



# Equality Act 2010 (Specific Duties) Regulations

- Came into force in September 2011
- Are designed to help authorities meet the general duty
- Place a requirement for public bodies to:
  - publish information to demonstrate their compliance with the general equality duty, including information relating to people who share a protected characteristic who have been affected by its policies and practices,
  - Set specific, measurable equality objectives. These objectives must be published in a manner which is accessible to the public



# Equality Objectives 2017 to 2020 - Services

1. We will use fair and evidence based decision making when reviewing Council policies, services and functions, including ensuring equality implications are taken into consideration
2. We will improve the quality of life for people in West Norfolk through improved access to information and services
3. We will ensure the Council's approach to equalities issues are regularly reviewed and promoted



# Equality Objectives 2017 to 2020 - Employment

1. We will maintain a diverse workforce that reflects the community that we serve
2. We will maintain a working environment that is inclusive and where all staff are treated fairly
3. We will ensure all our employment policies, practices and procedures comply with equalities legislation

## Service Objective 1 - Use fair and evidence based decision making

Examples of work undertaken in past year:

- Equality Impact Assessment toolkit reviewed
- Service Managers refreshed on need to complete EIA's
- Post implementation reviews of key EIA's
- Equality group members involved in reviewing corporate complaints with an equality strand



## Service Objective 2 - Improved access to information and services

Examples of work undertaken:

- Work on assisted digital support for Universal Credit applications (in partnership with DWP)
- Highest rating for website
- Work with ACCESS to improve knowledge/ understanding of issues for migrants living in WN
- Support for first (and second) KL Pride



Home > Accessibility statement

## Accessibility statement

We are committed to providing a website that is accessible to the widest possible audience, regardless of technology or ability.

We are actively working to increase the accessibility and usability of our website.

We aim to meet Double-A standard of the [Web Content Accessibility Guidelines 2.1](#). These guidelines explain how to make web content more accessible for disabled people.

### Readability

We have made every effort to ensure this web site is easily readable using 'Plain English'. All our content authors have attended training to present content in an easy to read format.

### Change text size, colours and fonts

You can [change the text size, colours and fonts](#) of our website to suit your needs. Changes can be saved for your future visits. In order to remember your preferences as you navigate through the site, a cookie will be set.

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VENUES MEMBERSHIPS FITNESS SWIMMING ACTIVITIES COMMUNITY SIGN IN

Accessibility

Access

We are committed to providing a website that is accessible to the widest possible audience

Regardless of ability or browsing technology and including those who have visual, hearing, motor and cognitive impairments. The site aims to achieve overall



## **Service Objective 3 - Equality issues regularly reviewed and promoted**

Examples of work undertaken:

- Up-to-date information on website, including latest gender pay gap information
- Equality Working Group meeting quarterly
- Regular column in Internal Affairs
- Support for first 'Yes I Can' event



# Employment Objective 1 – Maintain a diverse workforce

Examples of work undertaken:

- Review of employment monitoring criteria in progress
- Annual workforce and recruitment monitoring completed and reported
- Support for employees who need to apply for EU settlement scheme



## Employment Objective 2 – Maintain an inclusive working environment

Examples of work undertaken:

- Annual update training provided to harassment advisers
- Development of new training programme for employees and Elected Members in progress
- Cultural Sensitivities training planned for late 2019





## Employment Objective 3 – Ensure policies remain compliant

Examples of work undertaken:

- Compliance with obligations with regards to gender pay gap reporting, including development of action plan
- Compliance with the “Code of Practice on the English Language requirements for Public Sector Workers”
- Awareness of forthcoming changes, eg proposed Statutory Code of Practice on harassment



# Equality Working Group

- Met quarterly
- Developed work plan for 19/20
- Membership revised
- Agreed and monitored actions to support equality objectives
- Update reports to Management Team
- Developing own knowledge/understanding – ACCES, Refugees & Asylum seekers, Gypsy, Roma and Travellers

# Priorities for the coming year

- Roll out of cultural sensitivities training to front line employees
- Development of new digital inclusion strategy
- Review plain English campaign/Crystal Mark guidance for websites
- Improvements to accessibility of other Council systems/websites (eg My Revenues, Alive West Norfolk)
- Development of knowledge/understanding of Gypsy, Roma and Traveller diversity and culture
- Support for world mental health day



# Thank you....

..... Any questions?

**POLICY REVIEW AND DEVELOPMENT PANEL REPORT**

REPORT TO:	Corporate Performance Panel		
DATE:	21 October 2019		
TITLE:	Corporate Complaint Policy		
TYPE OF REPORT:	Policy Development		
PORTFOLIO(S):	Performance		
REPORT AUTHOR:	Honor Howell – Assistant Director		
OPEN/EXEMPT	Open	WILL BE SUBJECT TO A FUTURE CABINET REPORT:	Yes

**REPORT SUMMARY/COVER PAGE**

<b>PURPOSE OF REPORT/SUMMARY:</b>
The borough council strives to provide excellent services to our customers, visitors and businesses, and to deliver those services right first time. Occasionally, customers may be dissatisfied with council services and will make a complaint about the service they have received. The current process focusses on the administration of complaints so a thorough review of the process has been conducted to drive greater consistency, reflect best practice, improve customer experience, and to ensure all complaints are dealt with appropriately.
<b>KEY ISSUES:</b>
<ul style="list-style-type: none"> <li>• The draft policy has been developed on best practice and according to advice from the Local Government and Social Care Ombudsman</li> <li>• Clear definitions of what constitutes a complaint are not currently available</li> <li>• Clearer timescales in the handling of complaints are required</li> </ul>
<b>OPTIONS CONSIDERED:</b>
Not applicable
<b>RECOMMENDATIONS:</b>
The draft corporate complaints policy is presented to the Corporate Performance Panel for feedback and recommended approval.
<b>REASONS FOR RECOMMENDATIONS:</b>
To ensure the council has a robust, consistent and easily accessible policy for both staff, members and customers to manage the complaints process and associated expectations.

**1. Background**

- 1.1 The Borough Council of King's Lynn and West Norfolk aims to provide excellent services to customers and to deliver those services right first time. Occasionally things do go wrong and customers will make a complaint about the service they have received or about a decision or outcome they do not believe is correct.
- 1.2 A recent project to improve the monitoring and administration of corporate complaints highlighted a requirement to review the complaints policy to better reflect customer requirements, improve the effectiveness of services and to reflect best practice from the Local Government and Social Care Ombudsman.

## **2. Current Procedure**

- 2.1 The existing procedure for corporate complaints does not always provide the appropriate mechanism to resolve an issue. The three stages can result in the same issues being covered repeatedly without further information or resolution; and the definition of a complaint is too broad. This can lead to dispute over policy and formal decisions that cannot be resolved through the complaints process. This causes delay and frustration for the customer.

## **3. Compliance with Local Government and Social Care Ombudsman**

- 3.1 Complaints other than for social care are not subject to a statutory process. However, the Local Government and Social Care Ombudsman (LGO) publishes good practice guidance for councils on running a complaints system. It includes advice on broad principles for effective complaints management and on key issues for policies and procedures. This guidance has been used in the review of the policy.

## **4. Proposed Policy**

- 4.1 The draft policy places emphasis on the informal resolution of complaints at the point of service delivery level. For complaints entering the formal system, the policy is designed to enable efficient and effective resolution with a two-stage process and reduced overall timescales to avoid duplication and improve efficiency.

- 4.2 The policy incorporates:

- A clear definition of a complaint
- A two stage process with limits on timescales to bring the council in line with the LGO
- A fair approach to the escalation of a complaint

- 4.3 The explanation in the policy of complaints, which fall outside the scope of the policy, is not intended to discourage complaints from customers. The aim is to encourage customers to use the most appropriate path for their complaint. This could be an appeal or tribunal process. An example of this would be a customer filling in a complaint form in respect of a housing benefit claim, which should be classed as an appeal and should be processed as such.

## **5. Training**

- 5.1 The Local Government and Social Care Ombudsman offer training to Councils to assist the administration of their complaints processes. The council has booked this training for spring 2020 and all members of staff involved in the administration of complaints will be attending.

## **6. Social Media Complaints**

- 6.1 Some customers can raise issues/complaints via the council's social media outlets such as Facebook or twitter. These are usually service requests, which are straightforward to resolve. However, if it is clear it is a complaint, wherever possible, the council will attempt to take the complaint offline and communicate with the customer via email. They will be requested to complete a complaint form to enable the council to consider the complaint according to the full process.

**7. Issues for the panel to consider**

- 7.1 The panel is requested to review the new corporate complaints policy and to provide feedback and recommendation on the proposal.

**8. Financial implications**

- 8.1 Cost of providing training, which is £1,500 for one day's training for up to 15 members of staff.

**9. Any other implications/risks**

None

**10. Equal opportunity considerations**

- 10.1 An Equalities Impact Assessment (EIA) pre-screening has been completed and highlighted a requirement for a full EIA. This is due to be considered by the Corporate Equalities Group at the December meeting and will accompany the Cabinet report on 7<sup>th</sup> January 2020.
- 10.2 The council has a separate policy for the management of complaints when the person making the complaint believes that they have been treated differently or unfairly because of whom they are. This covers all protected characteristics covered by the Equality Act 2010.

**11. Consultation**

- 11.1 Consultation has taken place with the retired Chief Executive, Lorraine Gore, Chief Executive Officer, Management Team, Democratic Services Manager, Personnel, Policy and Performance Manager and the Assistant Director, Development Services.

**12. Background Papers**

<https://lgo.org.uk/information-centre/reports/guidance-notes>

# Corporate Complaints Policy

*The Borough Council of King's Lynn and West Norfolk is committed to resolving complaints fairly, quickly and where possible, informally. We will do this by listening to you and explaining our decisions*



# Our Policy

## Introduction

The Borough Council of King's Lynn and West Norfolk (hereafter call the council), aims to provide excellent services to customers and deliver those services right first time. Occasionally things do go wrong so we welcome and recognise the importance of customer feedback. The council will ensure officers take ownership of complaints and respond positively to our customers' needs and expectations. We will work with you to resolve issues. This is an integral part of the service we provide.

The council will respond to complaints promptly and efficiently, resolving complaints quickly wherever possible. We will use the information received from complaints to drive improvements.

For the purpose of this document, the term complainant refers to any person making a complaint, for example, a resident or service user.

### 1. What is a complaint?

The council has adopted the following definition from the Local Government and Social Care Ombudsman.

*"A complaint or concern is an expression of dissatisfaction about an act, omission or decision of the council (whether that is provided directly by the council or by a contractor or partner) either verbal or in writing, and whether justified or not, which requires a response".*

Complaints about council services are processed in accordance with the requirements of the General Data Protection Regulations, the Data Protection Act and associated council policies.

A complaint could for example, be in respect of:

- A delay in taking action without good reason
- A failure to provide a service
- Mistakes in the way a decision has been taken
- Not following the law of the Council's own policies
- Giving incorrect or misleading information
- Bias or unfair discrimination
- Rude, unhelpful or inappropriate behaviour by staff
- Poor communication
- The conduct of staff when delivering the service

Some issues cannot be covered by this complaint policy. For more information on these exceptions, please go to section seven of this policy.

### 2. Initial Stage

The council takes complaints seriously and places a strong emphasis on contacting the customer at the early stage of receiving a complaint. At this stage, whenever possible, we will contact you by telephone and talk to you about the issue causing you concern. We will look to resolve the matter for you quickly and without the need for escalation to the formal complaints process.

Matters reported to the council to take action, for example, reporting fly tipping or dog-fouling etc., are classed as a service request and will not be considered as a complaint unless these issues have been reported previously with no resolution. The council will aim to deal with such issues informally and within five working days.

When a matter remains unresolved or complex and needs further investigation, we will register the matter as a formal complaint. Your complaint will be passed to the relevant department to consider and a formal response will be sent.

### **3. How the council will deal with your complaint – Formal Stage**

The Corporate Complaints process consists of two stages:

#### **Stage One**

At Stage One, the investigation involves the complaint being considered by an experienced officer from the department the complaint is regarding. In cases where the complaint concerns more than one council service, the council will ensure that the response is coordinated and a collective response will be given to all issues raised.

The council will acknowledge receipt of a complaint within 2 working days. The acknowledgement will provide the timeframe for a response.

We will respond to a Stage One complaint within **15 working days**. We aim to resolve most complaints during this stage.

#### **Stage Two**

If the complainant is dissatisfied with the outcome of the Stage one response, they can request to escalate their complaint to Stage two, which is the final stage of the council's internal complaints process. The complainant must specify the reasons for wanting to proceed to Stage two. Simply stating that they are unhappy with the response received or just exercising the right to escalate to the next stage are not justified reasons to initiate a Stage Two investigation.

A Stage Two request must be made within 1 calendar month of the date of the Stage One response. The complainant is required to explain why they remain dissatisfied and, where appropriate, provide clear reasons for escalation. The council will then determine whether the complaint can be considered at Stage Two. The decision to accept a Stage Two complaint will be made promptly and should take no more than 2 working days. If we cannot accept your complaint, we will write to you and tell you why.

Following the acceptance of a Stage two complaint, a Senior Officer will be appointed to conduct the investigation. The officer will not have had any previous involvement with the case.

The investigating officer will review the entire case, such as the original complaint, any background information relating to the complaint matter, the response provided at Stage One and any other information, which has relevance to the complaint.

The investigation will be conducted on behalf of the relevant Executive Director of the service.

The timeframe to respond to a Stage two complaint is **20 working days** from the date of receipt.

#### **4. Who can make a complaint?**

A complaint may be made by:

- A person who is affected by our services
- An individual or organisation acting on behalf of someone (written consent is required)
- A councillor or a Member of Parliament (MP) on behalf of their constituent
- An organisation that has been impacted by our services

#### **5. How to make a complaint**

If you wish to talk about an issue you are experiencing, please firstly speak to an officer in the department concerned. We will try to resolve matters promptly and prevent them from escalating. You can do this by contacting the [Council Information Centre](#).

If you wish to make a complaint, the quickest and easiest way to do this is by completing the [online complaint form](#). You can also email [complaints@west-norfolk.gov.uk](mailto:complaints@west-norfolk.gov.uk) or send a letter to:

Democratic Services  
Borough Council of King's Lynn and West Norfolk  
King's Court  
Chapel Street  
King's Lynn  
PE30 1EX

#### **6. Accessibility**

In the event you wish to make a complaint, it is useful to put the details of your complaint in writing. If you do not feel comfortable doing this or experience difficulty, you can:

- Appoint an advocate to act on your behalf
- Ask your local Councillor to act on your behalf
- Ask a friend, carer or family member to help you
- Ask an organisation such as the Citizens Advice Bureau or Age Concern to assist

The council does not require consent of an individual to disclose their personal information to a Councillor. It is considered that the individual has provided implied consent to the processing of their personal data that is reasonably necessary to pursue the complaint. We will require written consent from any other third party to act on behalf of an individual.

#### **7. Complaints that cannot be considered under this policy**

There are certain types of issues and complaints that fall outside this policy. This list is a general guide but not exhaustive and includes matters such as:

- A request for a service (e.g. a report of a single service failure); or issues that can be resolved informally
- Objections about a provision for which there is an alternative process, e.g. appeals, reviews or tribunal processes
- A complaint where the complainant has started legal proceedings in respect of the matter being complained about

- A complaint that is already subject to a court or tribunal ruling
- Allegations of internal or external fraud or corruption (which would be more appropriate to be dealt with by the councils Whistle Blowing procedure)
- A complaint about a Councillor. These should be made to the council's Monitoring Officer who will consider the complaint
- A complaint by a member of staff about a personnel matter, including appointments, terms and conditions of employment (or disciplinary issues).
- A complaint about a council policy e.g. the council's implementation of a Government policy as these are often open to interpretation e.g. Planning
- Insurance claims
- A complaint which the complainant has known about for more than twelve months before registering it
- A complaint that has been previously investigated, responded to and concluded

Examples of issues not be covered by the Corporate Complaints Policy:

- A claimant complaining about their benefit award. This should be classed as a benefit appeal
- Appealing a car parking fine. There is a defined process for this.
- Outcome of a planning application. This would be a planning appeal.
- Complaint about the council tax banding. This should be directed to the Valuation Office Agency.

When the council cannot consider a complaint under this policy, you will be advised and provided with any alternative options that may be available.

## **8. Complaints and Enquiries from an MP or Councillor**

The complaints policy is intended for individual citizens to seek resolution to an issue. A Member of Parliament (MP) or Councillor can make a formal complaint or enquiry on behalf of a constituent. However, when a constituent has requested an MP take up a matter on their behalf, these will not be registered as a corporate complaint, but as an MP enquiry. A response will be sent to the MP directly within **20 working days**. Confirmation of the customer's permission to disclose information to the MP will be required.

## **9. Timescales for making a complaint**

Complaints must be made no later than twelve months after the date on which the matter occurred.

If there are good reasons for not having made the complaint within the above time frame and, if it is still possible for the council to investigate the complaint effectively and fairly, we may decide to still consider the complaint.

## **10. Outcome of Complaint**

A complaint may be upheld, partially upheld or not upheld. This means that the complaint may be completely justified, partially justified or not justified at all. Any response to a complaint will determine and outline whether a complaint was justified or not, with clear reasons why.

Where complaints are upheld or partially upheld, the remedy needs to be appropriate to the complaint, taking into account the customer's desired outcome. The Local Government and Social Care Ombudsman offers this general principle for guidance:

*"Where we find that an injustice has been caused by maladministration, we seek a remedy that would, so far as possible, put the complainant back into the position he or she would have been in but for the fault"*

## **11. Local Government and Social Care Ombudsman and the Housing Ombudsman Service**

If the complainant remains dissatisfied with the response following the Stage two response, they can escalate their complaint to the Local Government and Social Care Ombudsman Service or the Housing Ombudsman Service. These services are external to the council. Contact details for the appropriate body will be provided in the councils Stage two response.

The Ombudsman's service is the final stage for complaints about the council and their investigations are independent to the council. The Ombudsman service will assess the complaint and advise the council if they decide to initiate an investigation.

The Ombudsman will normally only consider complaints once complainants have exhausted the council's complaints process.

If the Local Government and Social Care Ombudsman (LGSCO) or the Housing Ombudsman Service (HOS) become involved, all contact is made directly to them. The council must submit a response to the LGSCO or HOS within **20 working days** of receipt.

## **12. Links to other policies and procedures**

### **12.1 Complaints about the conduct of Councillors**

The council's Standards Committee is responsible for considering complaints where a Member may have breached the Councillors Code of Conduct. If you think a Councillor has broken their Code of Conduct, you can report them to us using this [form](#).

### **12.2 Complaints by persistent or vexatious customers**

The council has a separate policy and procedure as to how it manages customers who may be either unreasonably persistent or vexatious. The link to this policy can be found [here](#).

## **13. Performance, monitoring and transparency**

The council will capture the following information, where possible, on our complaint management system:

- Date of receipt
- Name, address and contact details of the customer
- A copy of the acknowledgement and all other documents as they are sent
- Notes of contact with the customer
- Details of the resolution
- Closing date

This data will be used to produce management information to monitor service performance, highlight areas of service failure and inform service improvement.

## **14. Relevant Legislation**

There are key areas of legislation that the council must follow in the course of handling customer complaints.

### **14.1 General Data Protection Regulations**

The General Data Protection Regulations provides protection for personal information and customer's ability to access the information held about them. The general principles are:

- That information held will be processed fairly, lawfully and in a transparent manner
- That information is collected for specific, explicit and legitimate purposes
- That information is adequate, relevant and limited to what is necessary
- That information held is accurate and where necessary, kept up to date
- That information is retained for only as long as necessary
- That information is processed securely, protected against unlawful or unauthorised process and again accident, loss, destruction or damage

### **14.2 Freedom of Information**

The Freedom of Information Act 2000 gives people the right to access information held by public authorities. The Act ensures that, subject to certain limited exemptions, anyone can receive information that they request from a public authority. The council is committed to the principles of openness, transparency and accountability in its activities and supports the right of any person to seek information under the Act.

**POLICY REVIEW AND DEVELOPMENT PANEL REPORT**

REPORT TO:	Corporate Performance Panel		
DATE:	21 October 2019		
TITLE:	Managing Unreasonable Complainant Behaviour		
TYPE OF REPORT:	Policy Review		
PORTFOLIO(S):	Performance		
REPORT AUTHOR:	Honor Howell – Assistant Director		
OPEN/EXEMPT	Open	WILL BE SUBJECT TO A FUTURE CABINET REPORT:	Yes

**REPORT SUMMARY/COVER PAGE**

<b>PURPOSE OF REPORT/SUMMARY:</b>
A recent review of corporate complaints and the Unreasonably Persistent Complaints Policy has highlighted a review of the policies was required to reflect best practice and to provide clarification on key points. This report relates to the Policy on persistent complainants and has been renamed the Unreasonable Complainants Policy.
<b>KEY ISSUES:</b>
<ul style="list-style-type: none"> <li>• The need for a review of the policy was identified</li> <li>• Clarification was required on the decision making process of the classification of unreasonable complainants</li> <li>• The requirement for a review following the development of a corporate complaint policy</li> </ul>
<b>OPTIONS CONSIDERED:</b>
Not applicable
<b>RECOMMENDATIONS:</b>
A tracked changes version of the Policy is attached to this report. Members are requested to review the proposed changes and approve the revised policy.
<b>REASONS FOR RECOMMENDATIONS:</b>
To ensure a clearly defined process is in place for the management of unreasonably persistent complainants and to provide transparency and accountability within the process.

**1. Background**

- 1.1 In a minority of cases, people pursue their complaints in a way that is unreasonable. They may behave unacceptably, or be unreasonably persistent in their contacts and submission of information. This can impede investigating their complaint (or complaints by others) and can have significant resource issues for the authority. The council has a policy on managing unreasonably persistent complainants and a review of this policy has been conducted.

## **2. Existing Policy**

- 2.1 The existing policy was last reviewed in August 2018. Following the development of the corporate complaints policy it was considered an appropriate time to review the existing policy and to provide further clarification of particular areas.

## **3. Compliance with Local Government and Social Care Ombudsman**

- 3.1 The Local Government and Social Care Ombudsman offers guidance on managing unreasonable complainant behaviour. A review of best practice has been completed during the review of this policy.

## **4. Updated Policy**

- 4.1 The policy has been updated to provide clarification on:

- The decision making process of declaring a customer unreasonably persistent
- Rights of appeal and whom that appeal should be made to
- The right to confidentiality
- Links to other council policies

## **5. Issues for the panel to consider**

- 5.1 The panel is requested to review the updated policy on unreasonably persistent complainants and to provide feedback and recommendation on the proposal.

## **6. Financial implications**

None

## **7. Any other implications/risks**

None

## **8. Equal opportunity considerations**

- 8.1 An Equalities Impact Assessment (EIA) pre-screening form has been completed and a full EIA is not required.

## **8. Consultation**

Consultation has taken place with the retired Chief Executive, Lorraine Gore, Chief Executive Officer and Management Team.

## **9. Background Papers**

None.





## **BOROUGH COUNCIL OF KING'S LYNN AND WEST NORFOLK**

### **POLICY ON ~~UNREASONABLY PERSISTENT COMPLAINANTS~~MANAGING UNREASONABLE COMPLAINANT BEHAVIOUR**

#### **UNACCEPTABLE~~REASONABLE~~ COMPLAINANTS POLICY**

This policy sets out our approach to the relatively few complainants who pursue their complaints in a way that is unreasonable. se actions or behaviour we consider to be unacceptable. We aim to deal fairly, honestly, consistently and appropriately with all complainants, but we retain the right to restrict or change access to our services where we consider a complainant's actions to be unacceptable unreasonable. Our aim in doing this is to ensure that other complainants and our staff do not suffer any disadvantage from complainants who act in an unacceptable unreasonable manner.

This policy will not affect anyone's rights under the Data Protection Act 1998 or the Freedom of Information Act 2000.

#### **DEFINITION OF UNREASONABLE BEHAVIOUR ~~DEFINING UNACCEPTABLE ACTIONS~~**

People may act out of character when under stress and we do not view behaviour as unacceptable unreasonable just because a complainant is forceful or determined. However, the actions of complainants who are angry, demanding or persistent may result in unreasonable demands on workloads and behaviour towards staff. Such actions have been grouped under three headings:

##### **1. Unreasonable Persistence**

Examples include:

- Refusing to specify the grounds of a complaint, despite offers of assistance with this from the authority's staff.
- Refusing to co-operate with the complaints investigation process while still wishing their complaint to be resolved.

- Refusing to accept that issues are not within the remit of a complaints procedure despite having been provided with information about the procedure's scope.
- Insisting on the complaint being dealt with in ways which are incompatible with the adopted complaints procedure or with good practice.
- Making what appear to be groundless complaints about the staff dealing with the complaints, and seeking to have them replaced.
- Changing the basis of the complaint as the investigation proceeds and/or denying statements he or she made at an earlier stage.
- Introducing trivial or irrelevant new information which the complainant expects to be taken into account and commented on, or raising large numbers of detailed but unimportant questions and insisting they are all fully answered.
- Electronically recording meetings and conversations without the prior knowledge and consent of the other persons involved.
- Adopting a 'scattergun' approach: pursuing a complaint or complaints with the authority and, at the same time, with a Member of Parliament/a councillor/the authority's independent auditor/the Standards Board/local police/solicitors/the Ombudsman.
- Making unnecessarily excessive demands on the time and resources of staff whilst a complaint is being ~~looked into~~ investigated, by for example excessive telephoning or sending emails to numerous council staff, writing lengthy complex letters every few days and expecting immediate responses.
- Submitting repeat complaints, after ~~the~~ complaints processes ~~have~~ been completed, essentially about the same issues, with additions/variations which the complainant insists make these 'new' complaints which should be put through the full complaints procedure.
- Refusing to accept the decision – repeatedly arguing the point and complaining about the decision.
- Combinations of some or all of these.

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When we find a complainant to be unreasonably persistent, we will tell them why and ask them to change their behaviour. If the behaviour continues, we will take action to restrict the complainant's contact with the Council. Any such restrictions will be appropriate and proportionate after consideration by the appropriate

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Executive Director, in consultation with either the Chief Executive Officer or the council's Monitoring Officer. The most likely options would be:-

- a) requesting contact in a particular form (eg by letter only)
- b) requiring contact to take place with a named member of staff and by prior appointment
- c) restricting telephone calls to specific days and times; and /or
- d) asking the complainant to enter into an agreement about their contact.
- e) where a) to d) fail to stem unacceptable behaviour to advise the complainant that all further correspondence and complaints on or closely related to the same subject will be read and filed without acknowledgement and no further response will be sent by officers of the Council.

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The reason for the restriction will be recorded and the ~~officer~~Executive Director will state how long any restriction will apply for before it is reconsidered. Restrictions on contact will be reviewed on a six monthly basis, to determine whether the restrictions imposed are still necessary and should remain.

The complainant will be notified of the decision to place them on the list by letter. They will also be notified of the result of the 6-monthly review. unless there are good reasons not to do so.

## 2. Aggressive or Abusive Behaviour

The Council recognises that customers who feel dissatisfied with the service they have received may feel angry about their treatment. However, the Council has a duty of care towards the safety and welfare of its staff.

Examples of ~~unacceptable~~reasonable behaviour include any action or series of actions which are perceived by the staff member to be abusive, threatening or offensive whether they are delivered verbally or in writing or a combination of the two. This includes not only behaviour directed at them, but also their families or associates. If a staff member feels threatened by a complainant, they should report their fears and the reason for them, to their line manager. The line manager will record the details and as part of the action arising from his/her investigation will consider:-

- Writing to the perpetrator requiring no repetition of the behaviour and, if necessary, setting conditions and restrictions for further contact with staff.
- Whether to report the matter to the Police.

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If dealing with such behaviour in a telephone conversation, the staff member should tell the complainant that they will terminate the call if the behaviour continues. If, despite this warning the behaviour continues, the contact should be terminated and

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a note placed on the case file recording the circumstances of the termination. Staff will respond to repeated calls in the same way.

Repeated calls may be deemed to be harassment, which, after consultation with the Executive Director, may be reported to the Police.

### 3. Unreasonable Demands

Complainants may make unreasonable demands through the amount of information they seek, the nature and scale of service they expect or the number of approaches they make. What amounts to unreasonable demands will depend on the circumstances surrounding the behaviour and the seriousness of the issues raised by the complainant.

Examples might include demanding responses within an unreasonable timescale, insisting on speaking to or seeing a particular member of staff, continual phone calls or letters.

We consider these demands to be unreasonable if they start to impact substantially on the work of staff, such as taking up an excessive amount of staff time to the disadvantage of other customers or services. Actions falling within this category will be dealt with as set out in "Unreasonable Persistence" above.

### 4. Implementation of the Policy

In cases where this becomes necessary, we will write to the complainant saying why we believe their behaviour is ~~unacceptable~~ reasonable, what action we are taking and the duration thereof.

We will also tell them how to challenge the decision if they disagree with it and to whom such an appeal should be addressed.

Where a complainant continues to behave in an unacceptable fashion, the Executive Director in consultation with the Chief Executive or Monitoring Officer may authorise staff to terminate contact with the complainant on the subject of the complaint(s) and discontinue any further investigation. Any further contacts regarding the complaint in writing will be read and placed on file without acknowledgement. Telephone calls will be terminated and logged.

In taking the action described above, it is emphasised that this policy will only be used as a last resort and after all other reasonable measures have been taken to resolve complaints following the appropriate procedure. Judgement and discretion will ~~need to~~ be applied to ensure that contacts from the complainant about matters other than the complaint are not ignored and that as a result there is a failure to respond to a request for service or other information.

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New complaints from customers who have been regarded as unreasonable persistent complainants will be treated on their merits.

Withdrawal of any action taken under this policy must be undertaken in consultation with the Executive Director who authorised it- Together with the Chief Executive or Monitoring Officer.

## 5. Appeals Procedure

A complainant can appeal a decision to ~~restrict contact~~ classify them as a **unreasonably persistent complainant**. A senior member of staff who was not involved in the original decision will consider the appeal, together with the Statutory Officer not involved in the original decision (Chief Executive or Monitoring Officer). They will then advise the complainant in writing that either the original decision has been upheld or if a different course of action has been agreed.

## 6. Unreasonably Persistent Complainants and links to other policies

The council's policy on Unreasonably Persistent Complainants aligns with other council policies, which include but is not limited to, Equality Policy, Health, Safety and General Welfare, Harrassment Policy, Codes of Conduct for staff and Councillors and Freedom of Information and General Data Protection Requirements.

## 7. Confidentiality

All complainants have the right for their information to be kept confidential. Records of complainants who are registered as unreasonably persistent will be retained by the appropriate Executive Director and the Monitoring Officer only. Information of who is on the register will be released to officers/members only if it is necessary for the reasons of health and safety or for them to perform their functions properly and to discharge their duty.

## 8. The Policy

This policy will be reviewed annually.

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**POLICY REVIEW AND DEVELOPMENT PANEL REPORT**

REPORT TO:	Corporate Performance Panel		
DATE:	21 October 2019		
TITLE:	Corporate Performance Monitoring Q1 2019/20		
TYPE OF REPORT:	Monitoring		
PORTFOLIO(S):	Performance		
REPORT AUTHOR:	Becky Box		
OPEN/EXEMPT	Open	WILL BE SUBJECT TO A FUTURE CABINET REPORT:	No

**REPORT SUMMARY/COVER PAGE**

<b>PURPOSE OF REPORT/SUMMARY:</b>
The corporate performance monitoring report is in place to monitor progress against agreed performance indicators for the year. The report contains information on the corporate performance monitoring undertaken for Q1 2019/20.
<b>KEY ISSUES:</b>
Performance indicators for 2019/20 have been agreed by portfolio holders and executive directors as the key performance measures for the year; they cover all directorates. The monitoring report highlights specific performance issues; where indicators have not met agreed targets they are drawn out into an action report, which provides additional detail on what actions are being taken to correct performance that has a variance to target.  The Q1 2019/20 monitoring report shows that 44% of targets have been met, and performance has improved against target for 19 indicators. All calculations and analysis in this report is based on 52 indicators not the agreed 54, this is due to unavailable data for performance indicators EV3 and EV4.
<b>OPTIONS CONSIDERED:</b>
Not applicable.
<b>RECOMMENDATIONS:</b>
The Panel is asked to: <ul style="list-style-type: none"> <li>i. Review the performance monitoring report</li> <li>ii. Agree the actions outlined in the action report.</li> </ul>
<b>REASONS FOR RECOMMENDATIONS:</b>
To demonstrate that the council monitors and puts in place appropriate actions to correct performance that has a variance to the set target, to assist us in meeting our statutory duty to try and secure continuous improvement.

## 1. Introduction

- 1.1 The council's performance management framework includes quarterly monitoring and reporting of performance. Each quarterly performance report is presented to the Corporate Performance Panel and is available to all councillors for information on the council's intranet known as Insite. Environment and Community and Regeneration and Development Panels also receive reports for indicators within their remits.
- 1.2 The indicators monitored are reported in full within the Q1 2019/20 corporate performance monitoring report. The report includes a summary of the performance levels achieved for the 'status' and 'trend' categories. It is hoped this provides members with a useful 'snapshot' at the start of the report.
- 1.3 Following the collation of the full report, those indicators that have not met their target are drawn out into an action report. This report is designed to focus attention on adverse performance. In addition to the notes shown on the full report, senior managers provide information on the actions being taken to bring performance in line or reasons why this cannot happen.




## 2. Monitoring report

### Key points from the corporate performance monitoring report – Q1 2019/20



- 2.1 The following tables summarise the council's current performance levels and includes a comparison to the previous four quarters.
- 2.2 On 22 July 2019, the Corporate Performance Panel considered targets for 2019/20. The number of indicators which will be monitored for 2019/20 has increased to 54.

A number of these indicators will either:-

- be reported annually in the full year report; or
- will be a new indicator and have no target whilst monitoring is undertaken during 2019/20 to enable sufficient data to be collected to assist in the setting of an appropriate target for 2020/21.

		Q1 2018/19	Q2 2018/19	Q3 2018/19	Q4 2018/19	Q1 2019/20
Performance has improved		18 (36%)	17 (34%)	17 (34%)	20 (40%)	19 (36%)
Performance has not improved		9 (18%)	10 (20%)	11 (22%)	15 (30%)	14 (27%)
Performance has met and continues to meet target		3 (6%)	3 (6%)	2 (4%)	1 (2%)	1 (2%)
Other: • new indicator • monitor only		20 (40%)	20 (40%)	20 (40%)	14 (28%)	18 (35%)
Total number of indicators		50	50	50	50	<u>52</u>

- 2.3 The percentage of indicators that have met the target for Q1 2019/20 has decreased by 8% compared to Q1 2018/19, and actions are in place for the 5 indicators which have not met the target as shown in the attached action report.

		Q1 2018/19	Q2 2018/19	Q3 2018/19	Q4 2018/19	Q1 2019/20
Performance target met		26 (52%)	27 (54%)	25 (50%)	28 (56%)	23 (44%)
Performance target not met		3 (6%)	3 (6%)	4 (8%)	10 (20%)	5 (10%)
Other: · monitor only		21 (42%)	20 (40%)	21 (42%)	12 (24%)	24 (46%)
Total number of indicators		50	50	50	50	<u>52</u>

- 2.4 The following table provides an overview for Q1 2019/20 of the performance indicators grouped by Cabinet portfolio.

Portfolio	No of PIs	Performance target met	Performance target not met	Other
Leader	11	5	0	6
Culture, Heritage & Health	1	0	0	1
Project Delivery	5	0	0	5
Development	8	7	0	1
Environment	4	2	0	2
Housing	15	3	4	8
Commercial Services	3	3	0	0
Business Development	5	3	1	1
Total	52	23	5	24

### 3. Issues for the panel to consider

Members should review the attached analysis of the agreed performance indicators. The action report should then be reviewed to ensure areas which have not met target are appropriately addressed.

### 4. Corporate priorities

Performance indicators are developed to monitor key activities many of which directly underpin the achievement of the council's Corporate Business Plan.

### 5. Financial implications

None

### 6. Any other implications/risks

None

### 7. Equal opportunity considerations

None



## **8. Consultation**

Management Team, senior managers and portfolio holders

## **9. Conclusion**

Management Team actively monitors this information on a regular basis and uses the information highlighted on the action report to gain an understanding of the reasons for the levels of performance that have been reported. Members should use the report to assess the actions outlined in the action report which the panel is asked to agree.


## **10. Background papers**

Corporate Business Plan 2015/16 – 2019/20






# Performance Monitoring Action Report Q1 2019-20









This report highlights indicators that have not met target for Q1 2019-20 and is a supporting document to the Performance Monitoring Q1 2019-20 report. Comments / actions are recorded to help evidence performance management undertaken by the Council.

<b>Status</b>		This indicator has not met the target.
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## Performance Indicators Q1 2019-20














Ref	Name	2019/20 Target	Q1 2019/20 cumulative performance	Q1 2019/20 (Apr-Jun) performance	Status	Notes	Actions
HS10	% of Careline alarms installed within 10 days from date of enquiry	90.00%	86.10%	86.10%		In April the percentage of alarms installed fell to 74%, well below the target of 90%. However, performance for the following months increased to 91% and 93%, as this indicator is calculated on a cumulative basis the drop in performance will have an impact on the quarterly figures for the remainder of the year.	Factors effecting the April performance include: annual invoicing (4000+ clients), Easter bank holidays and staff sickness. With the subsequent months' being above target performance appears to be back on track.
HS11	Time taken (in weeks) from first contact to completion of work on Disabled Facilities Grant	30	44	44		The time taken in weeks for both of these indicators in Q1 is high, creating a backlog with some cases appearing on the waiting list for up to a year.	Government funding helped clear the backlog which was a national issue. Visits are now being held within a month of the enquiry, from Q2 the customer journey should improve and not include a lengthy waiting time for a visit.
50 HS12	Time taken (in weeks) from first contact to completion of work on Adapt passported cases with a value under £6,000	25	30	30			
HS15	No of days to process changes of circumstances	11	14	14		The Q1 figure has not met the target due to a peak in workload caused by annual billing and system downtime.	It is anticipated that the indicator will achieve target in Q2.
BD3	% of rent achievable on retail/general units	95.00%	82.09%	increased by 2.41% from Q4		Two town centre shops are currently vacant.	A let has been agreed on both of these shops with leases due to complete shortly.

# Performance Monitoring Q1 2019-20

<b>Status</b>	 Indicator has not met the target	10%	 Indicator has met target	44%	 New 2019-20 indicator	27%
<b>Trends</b>	 The value of this indicator has improved	36%	 The value of this indicator has worsened	27%	 The value of this indicator has not changed	2%

Actions being taken on indicators that have not met target are outlined on the accompanying Action Report






## Leader

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
LD1	1	Staff turnover	Aim to minimise	9.43%	–	1.02%	–		Monitor only
LD2	1	Average no of working days lost due to sickness absence per FTE employee	Aim to minimise	7.28	1.88	1.82			
LD3	1	% of short term sickness	Aim to minimise	50%	–	37%	–		Monitor only
LD4	1	% of eligible employees in post on 1st April receiving a performance appraisal	Aim to maximise	98.8%	100%	100.0%			
LD5	1	% of capital receipts where legal instructions have been issued	Aim to maximise	104.0%	90%	–	–	–	Annual monitoring
LD6	1	% of supplier invoices paid within 30 days	Aim to maximise	95%	94%	97%			
LD7	1	% of local supplier invoices paid within 10 days	Aim to maximise	81%	81%	85%	–		Monitor only
LD8	1	% of Council Tax collected against target	Aim to maximise	97.71%	28%	28.70%			
LD9	1	% of Business Rates collected against target	Aim to maximise	99.03%	29%	32.91%			
LD10	1	No of residential dwellings subject to Council Tax	Aim to maximise	73404	–	73496	–		Monitor only
LD11	1	Base for Council Tax setting purposes - Band D equivalent	Aim to maximise	51728	–	51829	–		Monitor only

## Culture, Heritage, Health

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
CH1	4	% of residents who take part in sport and physical activity as measured by the Sport England Active Lives Survey	Aim to maximise	66.4%	–	–	–	–	6 monthly monitoring




**Project Delivery**

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
PD1	2	No of residential house sales completed - NORA	Aim to maximise	20	24	5	-		
PD2	2	No of residential house sales completed - Marsh Lane	Aim to maximise	71	54	2	-		
PD3	2	No of residential house sales completed - Lynnsport 4/5	Aim to maximise	13	67	10	-		
PD4	2	No of residential houses commenced - Lynnsport 3	Aim to maximise	-	54	0	-		
PD5	2	No of residential house sales completed - Lynnsport 3	Aim to maximise	-	3	0	-		







**Development**

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
DV1	2	Processing of <b>major</b> development applications	Aim to maximise	92.0%	60.0%	94.0%			
DV2	2	Processing of <b>non-major</b> development applications	Aim to maximise	93.0%	70.0%	93.0%			
DV3	2	% of decisions on applications for <b>major</b> development that have been overturned at appeal, measured against total number of major applications determined	Aim to minimise	2.7%	10.0%	3.2%			
DV4	2	% of decisions on applications for <b>non-major</b> development that have been overturned at appeal, measured against total number of non-major applications determined	Aim to minimise	0.9%	10.0%	0.9%			
DV5	2	% of standard land charges searches carried out within 10 working days	Aim to maximise	100%	95%	100%			
DV6	2	% of planning applications refused	Aim to minimise	6.62%	10.00%	8.00%			
DV7	2	% of refused planning applications then appealed/lodged	Aim to minimise	29.03%	-	57.14%	-		Monitor only 28 applications refused / 16 applications appealed
DV8	2	% of planning appeals allowed	Aim to minimise	0.00%	35.00%	0.00%			The aim is to achieve 35% or less 16 refused applications appealed / 0 appeals allowed

**Environment**

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
EV1	3	Average response time for removal of fly-tips (days)	Aim to minimise	1.0	1.0	0.5			
EV2	3	No of fly tipping incidents recorded	Aim to minimise	1,460	-	328	-	-	Monitor only
EV3	3	Total of waste recycled and composted (tonnage)	Aim to maximise	28,068	28,000				Delay in obtaining Q1 data due to additional commitments of new refuse contract, updated figures will be available in Q2.
EV4	3	No of brown bins in use for composting	Aim to maximise	26,667	27,000				
EV5	3	Premises rated 3 or above in accordance with the food hygiene rating system	Aim to maximise	96.3%	95.0%	96.7%			
EV6	3	% of food interventions achieved	Aim to maximise	-	80.0%	-	-		Annual monitoring







**Housing**

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
HS1	2	% of HMO's inspected in accordance with the programmed inspection regime	Aim to maximise	-	100%	100%			
HS2	2	Spend on bed and breakfast accommodation (gross)	Aim to minimise	£45,648	-	£6,975	-		
HS3	2	No of households with a homelessness declaration	Aim to minimise	-	-	122	-		
HS4	2	No of households prevented from becoming homeless for a minimum of 6 months	Aim to maximise	489	-	13	-		
HS5	2	No of households accepted as homeless with a need to be rehoused (Full housing duty)	Aim to minimise	-	-	6	-		
HS6	2	% of cases who were offered a prevention and relief duty who remain homeless and are owed no further duty.	Aim to minimise	-	-	41.8%	-		
HS7	2	No of rough sleepers	Aim to minimise	5	-	27	-		





Performance Monitoring Q1 2019-20

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
HS8	2	No in temporary accommodation - bed and breakfast	Aim to minimise	55	–	14	–		
HS9	2	No of social housing lettings - against a baseline	Aim to maximise	464	–	144	–		
HS10	6	% of Careline alarms installed within 10 days from date of enquiry	Aim to maximise	93.8%	90.0%	86.1%			No of alarms installed - 2018/19 Q1 256 Q2 267 Q3 231 Q4 229 2019/20 Q1 213 In April the percentage of alarms installed fell to 74%, well below the target of 90%. However, performance for the following months increased to 91% and 93%, as this indicator is calculated on a cumulative basis the drop in performance will have an impact on the quarterly figures for the remainder of the year.
HS11	6	Time taken (in weeks) from first contact to completion of work on Disabled Facilities Grant	Aim to minimise	28.0	30.0	44.0			The time taken in weeks for both of these indicators in Q1 is high, creating a backlog with some cases appearing on the waiting list for up to a year.
HS12	6	Time taken (in weeks) from first contact to completion of work on Adapt passported cases with a value under £6,000	Aim to minimise	18.0	25.0	30.0			
HS13	6	Time taken (in weeks) from first contact to completion of work on Adapt grant means-tested cases with a value under £12,000	Aim to minimise	10.4	30.0	28.0			
HS14	1	No of days to process new benefit claims	Aim to minimise	14	17	14			
HS15	1	No of days to process changes of circumstances	Aim to minimise	10	11	14			The Q1 figure has not met the target due to a peak in workload caused by annual billing and system downtime.

**Commercial Services**

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
CS1	1	% of freedom of information requests given final response within deadline	Aim to maximise	96.0%	95.0%	96.0%			
CS2	1	% of customer satisfaction with digital services (website, webchat, e-forms, MyAccount)	Aim to maximise	93%	90%	95%			
CS3	1	Reduction in the percentage of telephone calls for core services where digital services are in place	Aim to maximise	14.00%	10.00%	4.00%			

**Business Development**

Ref	Link to Corporate Priority	Name	Good Performance	2018/19 cumulative performance	Q1 2019/20 target	Q1 2019/20 cumulative performance	Q1 2019/20 status	Versus this time last year	Note
BD1	1	% of rent achievable on industrial estates	Aim to maximise	93.11%	90.00%	90.98%			
BD2	1	% of rent arrears on industrial estates	Aim to minimise	3.97%	4.00%	2.25%			
BD3	1	% of rent achievable on retail/general units	Aim to maximise	79.68%	95.00%	82.09%			Two town centre shops are currently vacant, a let has been agreed on both of these shops with leases due to complete shortly.
BD4	1	% of rent arrears on retail/general units	Aim to minimise	2.43%	4.00%	1.13%			
BD5	1	Income from business rates for Renewable Energy projects	Aim to maximise	£3,162,615	-	-	-	-	Annual monitoring

## CORPORATE PERFORMANCE PANEL WORK PROGRAMME 2019/2020

DATE OF MEETING	TITLE	TYPE OF REPORT	LEAD OFFICER	OBJECTIVES AND DESIRED OUTCOMES
10 June 2019	Appointment of Vice-Chairman			
10 June 2019	Presentation on Freedom of Information Procedure	Presentation	C Jordan Eastlaw	To inform the Panel of the Council's Freedom of Information Procedure
22 July 2019	<b>Exempt Report</b> Hunstanton Sailing Club <b>DEFERRED TO 9 SEPTEMBER 2019</b>	Update		Tony Devenish from Hunstanton Sailing Club to provide an overview on how the Club have met their criteria for the funding previously granted by the Borough Council.
22 July 2019	Consideration of Called in item – Financial Assistance Scheme	Call in	L Gore and S Dennis	To consider the call-in.
22 July 2019	Nominations to Outside Bodies and Partnerships – Hunstanton Sailing Club Development Sub Committee	Operational		The Panel is invited to nominate a representative as an observer only to participate in the outside bodies and partnerships which fall within the Corporate Performance Panel's remit; Hunstanton Sailing Club Development Sub Committee.
22 July 2019	2018/2019 Full Year Corporate Performance Monitoring Report	Monitoring	B Box	To review the report and in particular the Action Report. Members are also asked to agree the actions outlined in the Action Report.



DATE OF MEETING	TITLE	TYPE OF REPORT	LEAD OFFICER	OBJECTIVES AND DESIRED OUTCOMES
22 July 2019	Q4 2018/2019 Corporate Business Plan Monitoring Report	Monitoring	B Box	The Panel are invited to review the Q4 2018/2019 Corporate Business Plan Monitoring Report.
22 July 2019	Corporate Performance Monitoring – Target Setting for 2019/2020	Monitoring	B Box	To review and suggest any new targets.
9 September 2019	<b>Exempt Report</b> Hunstanton Sailing Club <b>DEFERRED FROM 22 JULY 2019</b>	Update		Tony Devenish from Hunstanton Sailing Club to provide an overview on how the Club have met their criteria for the funding previously granted by the Borough Council.
9 September 2019	Corporate Business Plan 2020-2024	Monitoring	G Greaves	The Panel is invited to consider the draft priorities and objectives in Appendix A.
9 September 2019	Equalities Update	Update	B Box	To Panel to receive an annual update.
21 October 2019	New Corporate Complaints Policy	Policy	H Howell	The Panel is invited to consider the draft policy.
21 October 2019	Managing Unreasonable Complainant Behaviour	Policy	H Howell	The Panel is invited to consider the draft policy.

<b>DATE OF MEETING</b>	<b>TITLE</b>	<b>TYPE OF REPORT</b>	<b>LEAD OFFICER</b>	<b>OBJECTIVES AND DESIRED OUTCOMES</b>
21 October 2019	Formal Complaints against the Borough Council 1 April 2018 – 31 March 2019  The number of compliments received also to be reported.	Annual	Chief Executive	Report to be published on the Borough Council's Website/Insite
21 October 2019	Q1 2019/2020 Corporate Performance Monitoring Report	Monitoring	B Box	To review the report and in particular the Action Report. Members are also asked to agree the actions outlined in the Action report.
21 October 2019	Annual Sickness Monitoring Report	Annual	B Box	For Information only.
21 October 2019	Employment Monitoring Figures – Annual Report	Annual	B Box	For Information only.
28 November 2019	Council Tax Support: Final Scheme for 2020/2021	Policy Development	J Stanton	Update following consultation period. To agree the final Council Tax Support Scheme for 2020/2021.
28 November 2019	Corporate Business Plan 2020-2024 – Consultation on more detailed revised plan		G Greaves	The Panel is invited to consider the revised plan.
28 November 2019	Annual Communications Update	Annual Update	S Clifton H Howell A Howell	To provide the Panel with an annual update.

DATE OF MEETING	TITLE	TYPE OF REPORT	LEAD OFFICER	OBJECTIVES AND DESIRED OUTCOMES
13 January 2020	Q2 2019/2020 Corporate Performance Monitoring Report	Monitoring	B Box	To review the report and in particular the Action Report. Members are also asked to agree the actions outlined in the Action Report.
13 January 2020	Q2 2019/2020 Corporate Business Plan Monitoring Report	Monitoring	B Box	The Panel are invited to review the Q2 2019/2020 Corporate Business Plan Monitoring Report.
25 February 2020	Presentation on Improving Attainment in West Norfolk	Annual Update	B Box	To provide an update on the Improving Attainment in West Norfolk.
7 April 2020	Update on the Procurement Strategy	Update	T Hague	To provide an update on the Procurement Strategy
7 April 2020	Q3 2019/2020 Corporate Performance Monitoring Report	Monitoring	B Box	To review the report and in particular the Action Report. Members are also asked to agree the actions outlined in the Action Report.

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### **Forthcoming items to be programmed**

- Refit Project – N Gromett (ongoing monitoring on an annual basis – N Gromett to advise of date)
- Town Hall Bar Proposal – C Bamfield
- Annual Update Hunstanton Sailing Club (October 2020 – decision to be taken if update if presented by Hunstanton Sailing Club or the Borough Council’s representative)
- Persistent and Veracious Customers
- Update on Major Housing Projects – D Gagen
- Review of Election Process – February or April 2020

Post Evaluation Review of Projects

- Cinema, Corn Exchange
- H & M

**FORWARD DECISIONS LIST**

<b>Date of meeting</b>	<b>Report title</b>	<b>Key or Non Key Decision</b>	<b>Decision Maker</b>	<b>Cabinet Member and Lead Officer</b>	<b>List of Background Papers</b>	<b>Public or Private Meeting</b>
12 November 2019						
	Major Housing Project 2	Key	Council	Corporate Projects and Assets Exec Dir - C Bamfield		Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)
61	Waste Contract Procurement	Key	Cabinet	Environment C Bamfield – Exec Dir		Public
	Parkway – Accelerated Construction Scheme	Key	Council	Project Delivery Exec Dir – C Bamfield		Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)
	Strategic Property Acquisition	Key	Cabinet	Corporate Projects and Assets Exec Dir - C Bamfield		Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)

	Development Options - Hunstanton	Key	Council	Project Delivery Exec Dir - C Bamfield		Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)
	Major Housing Phase 3 – Enabling Work for Lynnsport 1	Key	Council	Project Delivery Exec Dir - C Bamfield		Private - Contains exempt Information under para 3 – information relating to the business affairs of any person (including the authority)
62	National Planning Policy Framework – Vacant Building Credit	Non	Cabinet	Development Exec Dir G Hall		Open
	Capital Strategy	Key	Council	Leader Deputy Chief Executive		Public
	Homelessness and Rough Sleeper Strategy Consultation	Non	Council	Housing Chief Executive		Public
	Mid Year Review Treasury Report 2019/2020	Non	Cabinet	Leader S151 Officer		Public

Date of meeting	Report title	Key or Non Key Decision	Decision Maker	Cabinet Member and Lead Officer	List of Background Papers	Public or Private Meeting
7 January 2020						
	Future High Streets – Stage 2 bid for funding	Key	Cabinet	Business Development Exec Dir – C Bamfield		Public

	Hunstanton Coastal Management Plan	Key	Cabinet	Environment Exec Dir – G Hall		Public
	King's Lynn Area Transport Study	Non	Cabinet	Development Exec Dir – G Hall		Public
	Corporate Business Plan	Key	Council	Leader Chief Executive		Public
	CIL Governance	Key	Council	Development Exec Dir – G Hall		Public
	Corporate Complaints Policy and the	Non	Cabinet	Leader Chief Executive		Public
	Updated revised policy on Unreasonably Persistent Complainants	Non	Cabinet	Leader Chief Executive		Public
	Council Tax Support Scheme 2020/2021 – Final Scheme for Approval	Key	Council	Housing S151 Officer		Public
23	Review of Standing Orders	Non	Council	Leader Chief Executive		Public
	Scrutiny and the Executive Protocol	Non	Council	Leader Chief Executive		Public

Date of meeting	Report title	Key or Non Key Decision	Decision Maker	Cabinet Member and Lead Officer	List of Background Papers	Public or Private Meeting
17 March 2020						

## **BOROUGH COUNCIL OF KING'S LYNN AND WEST NORFOLK**

### **Annual Employment Monitoring 2018/19**

#### **Background**

The Council has undertaken monitoring of its recruitment and selection procedures since 1996 and of its workforce since 2000, with findings reported to Elected Members and Senior Managers over this period. Over time the reports have taken various formats, as systems for collecting information have been improved, and as guidance and legislation regarding the monitoring that should be undertaken has been revised.

The information is compiled into the annual 'Employment Monitoring' report, which has a particular emphasis on meeting the requirements of relevant equalities legislation which was consolidated in the Equalities Act 2010. Guidance supporting the Equalities Act has reinforced the importance of public authorities monitoring and reporting their staff profile, particularly in relation to recruitment, promotion, training, pay, grievances and disciplinary action.

In addition, the Equality Act 2010 (Specific Duties) Regulations which came into force in September 2011 require public bodies to publish information to demonstrate their compliance with the general equality duty. This includes a requirement to monitor and publish information about their employees. The specific duties are not prescriptive about the information that needs to be published, but this must include information relating to people who share a relevant protected characteristic. The contents of this employment monitoring report therefore demonstrate the Council's compliance with this requirement.

The details of the monitoring exercise also provide evidence of the Council's progress against the employment related objectives it has set, which include ensuring opportunities for promotion and training are available to all employees.

Details of the monitoring undertaken can be found summarised in Appendix 1, which is organised into sections as follows:

- i. The Council's workforce profile (section 1)
- ii. Recruitment activity (section 2)
- iii. Applications for promotion (section 3)
- iv. Training and development activities (section 4)
- v. The number of employees refused training (section 5)
- vi. The impact of performance assessments (section 6)
- vii. Grievance procedures (section 7)
- viii. Disciplinary procedures (section 8)
- ix. Employees leaving the Council's employment (section 9)
- x. Employees experiencing at least one period of sickness absence in the year (section 10)

Where possible, information for the most recent year, plus the five previous years, has been included.



NB. In considering the report it should be noted that the information contained within Appendix 1 for the 2018/19, 2017/18, 2016/17, 2015/16 and 2014/15 years relate only to those employees directly employed by the Council (i.e. the information excludes the employees of Alive West Norfolk since the leisure service was TUPE's out in September 2014). The information for the previous year includes these staff. Where it is felt helpful, additional information has been included for the 14/15 year to enable appropriate comparisons.

When reviewing the 2017/18 Monitoring Report, members of the Corporate Performance Panel requested that additional monitoring in relation to age be included in future reports. Therefore throughout the information provided in Appendix 1 age has been added where the data has been collected and monitored for the first time in 2018/19. In future years it will therefore be possible to compare age related information. Unfortunately we have been unable to provide the age monitoring information for training or sickness, but are working on reports which will collect this information in future years.

## Summary of Monitoring Results

### i. The Council's Workforce Profile

The Council's workforce profile for the 2018/19 year has remained broadly the same as the past three years. When reviewing the Council's workforce profile a useful comparison is the relevant information on the population of West Norfolk, as compiled via the 2011 Census. This shows that the population within the Council is broadly comparable with the population of West Norfolk as a whole:

	Council Workforce 2018/19	Council Workforce 2017/18	2011 Census
White	96.17%	96.40%	97.2%
Other Ethnic Group	1.01%	1.00%	2.8%
Undefined	2.82%	2.60%	0%

	Council Workforce 2018/19	Council Workforce 2017/18	2011 Census
Female	53.63%	53.60%	51%
Male	46.37%	46.40%	49%

### ii. Recruitment Activity

The figures for both 2018/19 and 2017/18 show an increase in the number of applicants for job vacancies compared to 2016/17, this was mainly due to an increase in the number of adverts being placed in 2017/18, and an increase in the number of applications applying for vacancies within 2018/19. This includes a small number of harder to recruit positions and seasonal roles which it has been necessary to re-advertise.

During 2016/17 there were 127 adverts placed with an average of 10.48 applicants per vacancy. For 2017/18 there were 207 adverts placed with the average

remaining similar to the previous year at 10.11 applicants per vacancy. During 2018/19 there were 147 adverts placed with an increase in the number of applicants to an average of 16.64 applicants per vacancy.

During the analysis of data for 18/19 one area of concern for further analysis has been the difference between the number of other ethnic group applications shortlisted compared to the number from this group appointed. We have therefore undertaken further investigations into these numbers. This has shown that 17 applicants from the other ethnic group who were shortlisted (57% of those from this group shortlisted) have withdrawn from the recruitment process between being invited to attend and attending an interview. Therefore 13 candidates from other ethnic group have actually been interviewed, with one (7.7%) being successful. This is still a reduction on the % of successful candidates compared to previous years and as such we will need to see if this was due to the specifics of the 18/19 year or whether there are any underlying reasons for this change in performance.

In addition, during 2018/19 there has been a significant increase in the number of males being shortlisted and appointed to roles within the Council. To help understand the reasons for this, we have reviewed the range of vacancies that have been advertised during the year, which has shown that 30% of vacancies were within the Public Open Space team, and 13% of vacancies were within the Seasonal resorts/Civil Enforcement, both of which are services with job roles predominantly held by male employees. Again, we will however to review this data in future years.

### iii. Applications for Promotion

During 2018/19 the Council returned to a similar level of internal recruitment as in previous years, however with a higher percentage being shortlisted and achieving the promotion. The Council continues to offer a range of vacancies to existing employees on an “internal only” basis, taking this approach to recruitment in circumstances where it is felt employees with suitable skills are already employed within the organisation. In addition, all employees can of course apply for those positions advertised on a wider basis.

### iv. Training and Development Activities

The monitoring information shows that during 2018/19 the number of employees receiving training remained very high. This includes employees receiving training from rolling out of various training programmes and e-learning packages which had a relevance to a broad range of employees for example eLearning in relation to GDPR.

### v. The Number of Employees Refused Training

During 2018/19 there were no employees who were refused training, the same response as returned in 2017/18, 2015/16 and 2016/17.

### vi. The Impact of Performance Assessments

Following the trial of the revisions to the Council's performance management scheme during 2017/18, the scheme has been updated from 2018/19. Previously the scheme assessed employees against definitions of 'exceeded', 'met' or 'partially met'. For the 2017/18 appraisal year onwards the assessment definitions have been revised to 'exceeded', 'achieved with merit' 'achieved' or 'partially met'. The aim of the revisions were to provide employees who more than met their targets, but not enough to gain an overall rating of exceeded, the ability to gain recognition for their performance during the year. The results from the 2018/19 and 2017/18 appraisal year are reported in appendix 1. This information is shown as the number of staff achieving each grade.

vii. Grievance Procedures

During 2018/19 and 2016/17 there were no grievances, and in all other previous years the number of cases were very low.

viii. Disciplinary Procedures

The number of disciplinary cases progressed during the 2018/19 has slightly increased in comparison to the 2017/18 year, however does remain lower than in previous years.

ix. Employees Leaving the Council's Employment

The number of employees leaving the Council's employment in 2018/19 remains broadly consistent with turnover in previous years.

x. Sickness Absence

When reviewing the information in the 2014/15 monitoring report it was noted that sickness absence was not included as a part of the monitoring process. Therefore an assessment of sickness absence was added to the information in Appendix 1 for the first time in 2015/16. The figures for 2018/19 show a slight fall in the number of sickness absence, when compared to the last four years, with no areas of concern to report.

## Employment Monitoring Information – 2018/19

### 1. The Number Of Employees In Post (Permanent, Fixed Term and Temporary Employees)

#### a. By Ethnic Origin

	<b>% of Workforce*</b>					
	<b>2019</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
White	96.17	96.40	96.78	96.01	96.32	95.61
Other Ethnic Group	1.01	1.00	0.80	1.20	1.55	1.88
Undefined#	2.82	2.60	2.41	2.79	2.13	2.51

# Undefined relates to those employees for whom data has not been collected

#### b. By Disability

	<b>% of Workforce*</b>					
	<b>2019</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
Employees with a Disability	5.04	4.60	4.63	4.78	4.46	4.23

#### c. By Gender

	<b>% of Workforce*</b>					
	<b>2019</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
Female	53.63	53.60	54.12	54.38	54.26	55.17
Male	46.37	46.40	45.88	45.62	45.74	44.83

#### d. By Age

	<b>% of Workforce*</b>					
	<b>2019</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
25 and under	4.64					
26-44	34.88					
45 +	60.48					

\* NB. Figures based on permanent, fixed term and temporary employees at 1<sup>st</sup> April each year

### 2. The Number Of Applicants For Employment

Note: For these indicators, to enable a meaningful comparison between the information for 2014/15 and the information produced in previous years data is shown both for applications for directly employed Council posts only and for posts including those within Alive Management Limited and the Joint employee establishment (shown in the shaded boxes) (NB. These employees have now transferred to Alive West Norfolk). Information for 2015/16 is for applicants for directly employed Council roles only.

## 2.1 Applicants for Employment

### a. By Ethnic Origin

Year		2018/19	2017/2018	2016/2017	2015/16	2014/15	2013/14
Number of Applicants	White	2389 (97.67%)	2027 (96.85%)	1301 (97.75%)	1694 (95.81%)	2469 (96.82%)	3063 (96.84%)
	Other ethnic groups	57 (2.33%)	66 (3.15%)	30 (2.25%)	74 (4.19%)	81 (3.18%)	100 (3.16%)

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### b. By Disability

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
No of applicants with a disability		123 (5.03%)	131 (6.26%)	94 (7.06%)	99 (5.60%)	146 (5.73%)	202 (6.39%)

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### c. By Gender

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of Applicants	Female	1183 (48.36%)	998 (47.68%)	598 (44.93%)	783 (44.29%)	1429 (56.04%)	1542 (48.75%)
	Male	1263 (51.64%)	1095 (52.32%)	733 (55.07%)	985 (55.71%)	1121 (43.96%)	1621 (51.25%)

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### d. By Age

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of Applicants	25 and under	643 (26.29%)					
	26-44	985 (40.27%)					
	45 +	785 (32.09%)					

## 2.2. Applicants Shortlisted For Employment

### a. By Ethnic Origin

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of Applicants shortlisted	White	1029 (43.07%)	762 (37.59%)	432 (33.20%)	357 (21.07%)	311 (12.6%) 372 (11%)	939 (30.66%)
	Other ethnic groups	30 (52.63%)	14 (21.21%)	7 (23.33%)	6 (8.11%)	7 (8.64%) 10 (8%)	28 (28%)

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### b. By Disability

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
No of applicants with a disability shortlisted		51 41.46%	51 (38.93%)	28 (43.75%)	19 (19.19%)	16 (10.96%) 17 (9.24%)	63 (31.19%)

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### c. By Gender

Year		2018/2019	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of Applicants shortlisted	Female	361 (30.52%)	316 (31.66%)	169 (28.26%)	148 (18.90%)	158 (11.06%) 192 (13.44%)	409 (26.52%)
	Male	698 (55.26%)	460 (42.01%)	270 (36.83%)	215 (21.83%)	161 (14.36%) 190 (16.95%)	558 (34.42%)

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### d. By Age

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of Applicants	25 and under	225 (34.99%)					
	26-44	450 (45.69%)					
	45 +	370 (47.14%)					

## 2.3 Shortlisted Applicants Appointed

### a. By Ethnic Origin

Year		2018/2019	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of shortlisted Applicants appointed	White	227 (22.06%)	102 (13.39%)	83 (19.21%)	99 (27.73%)	93 (29.9%)	157 (16.72%)
						133 (35.75%)	
	Other ethnic groups	1 (3.33%)	2 (14.29%)	0 (0%)	2 (33.33%)	3 (42.86%)	1 (3.57%)
						3 (30%)	

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### b. By Disability

Year	2018/2019	2017/2018	2016/17	2015/16	2014/15	2013/14
No of shortlisted applicants with a disability appointed	7 (13.73%)	5 (9.80%)	2 (7.14%)	4 (21.05%)	3 (18.75%)	2 (3.17%)
					4 (23.53%)	

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### c. By Gender

Year		2018/2019	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of shortlisted Applicants appointed	Female	57 (15.79%)	44 (13.92%)	31 (18.34%)	36 (24.32%)	29 (18.35%)	66 (16.14)
						56 (29.17%)	
	Male	171 (24.49%)	60 (13.04%)	52 (19.26%)	65 (30.23%)	67 (41.61%)	92 (16.49%)
						80 (42.11%)	

NB. 2014/15 figures in white box relate to Council direct posts, figures in shaded box include Leisure Employees

### d. By Age

Year		2018/19	2017/2018	2016/17	2015/16	2014/15	2013/14
Number of Applicants	25 and under	30 (13.33%)					
	26-44	84 (18.66%)					
	45 +	111 (30%)					

## The Number Of Applicants For Promotion

### a. By Ethnic Origin

<b>2018/19</b>	<b>Ethnic Group</b>	<b>Applied For Promotion</b>	<b>Shortlisted For Promotion</b>	<b>Achieved Promotion</b>
	White	59	52 (88%)	28 (54%)
	Other Ethnic Group	0	0	0
	Undefined	0	0	0
<b>2017/18</b>	<b>Ethnic Group</b>	<b>Applied For Promotion</b>	<b>Shortlisted For Promotion</b>	<b>Achieved Promotion</b>
	White	85	68 (80%)	30 (44%)
	Other Ethnic Group	2	2 (100%)	1 (50%)
	Undefined	0	0	0
<b>2016/17</b>	<b>Ethnic Group</b>	<b>Applied For Promotion</b>	<b>Shortlisted For Promotion</b>	<b>Achieved Promotion</b>
	White	63	46 (73%)	21 (46%)
	Other Ethnic Group	0	0	0
	Undefined	0	0	0
<b>2015/16</b>	<b>Ethnic Group</b>	<b>Applied For Promotion</b>	<b>Shortlisted For Promotion</b>	<b>Achieved Promotion</b>
	White	67	52 (77.61%)	23 (44.23%)
	Other Ethnic Group	0	0 (0%)	0 (0%)
	Undefined	0	0	0
<b>2014/15</b>	<b>Ethnic Group</b>	<b>Applied For Promotion</b>	<b>Shortlisted For Promotion</b>	<b>Achieved Promotion</b>
	White	82	78 (95%)	44 (56%)
	Other Ethnic Group	1	1 (100%)	1 (100%)
	Undefined	0	0	0
<b>2013/14</b>	<b>Ethnic Group</b>	<b>Applied For Promotion</b>	<b>Shortlisted For Promotion</b>	<b>Achieved Promotion</b>
	White	111	83 (75.68%)	35 (42.17%)
	Other Ethnic Group	1	1 (100%)	0
	Undefined	0	0	0



b. By Disability

Year	Applied For Promotion	Shortlisted For Promotion	Achieved Promotion
2018/19	1	1	1
2017/18	3	2	1
2016/17	4	3	0
2015/16	0	0	0
2014/15	3	2	0
2013/14	3	2	0

c. By Gender

Year	Gender	Applied For Promotion	Shortlisted For Promotion	Achieved Promotion
2018/19	Female	30	27 (90%)	13 (48.15%)
	Male	29	25 (86.21%)	15 (60%)
2017/18	Female	48	39 (81.25%)	15 (38.46%)
	Male	39	31 (79.49%)	16 (51.61%)
2016/17	Female	20	17 (85%)	8 (47%)
	Male	43	29 (67%)	13 (45%)
2015/16	Female	32	25 (78.13%)	8 (32%)
	Male	35	27 (77.14%)	15 (55.55%)
2014/15	Female	44	42 (95.45%)	22 (55.38%)
	Male	39	37 (94.87%)	23 (62.16%)
2013/14	Female	51	44 (86.27%)	20 (45.45%)
	Male	61	40 (65.57%)	15 (37.50%)

d. By Age

2018/19	Ethnic Group	Applied For Promotion	Shortlisted For Promotion	Achieved Promotion
	25 and under	12	9 (75%)	4 (44.44%)
	26-44	30	19 (63.33%)	14 (73.68%)
	45 +	17	14 (82.35%)	9 (64.29%)

#### **4. The Number Of Applicants For Training**

##### **a. By Ethnic Origin**

	<b>% of Staff per Group Receiving Training</b>					
	<b>2018/19</b>	<b>2017/18</b>	<b>2016/17</b>	<b>2015/16</b>	<b>2014/15</b>	<b>2013/14</b>
White	92.54 %	93.15%	84.82%	92.53%	93.76%	96.56%
Other Ethnic Group	100%	100%	100%	85.71%	100%	100%
Undefined*	100%	100%	100%	100%	100%	93.75%

##### **b. By Disability**

	<b>% of Staff per Group Receiving Training</b>					
	<b>2018/19</b>	<b>2017/18</b>	<b>2016/17</b>	<b>2015/16</b>	<b>2014/15</b>	<b>2013/14</b>
Employees with a disability receiving training	88%	82.61%	86.95%	79.17%	82%	81%

##### **c. By Gender**

	<b>% of Staff per Group Receiving Training</b>					
	<b>2018/19</b>	<b>2017/18</b>	<b>2016/17</b>	<b>2015/16</b>	<b>2014/15</b>	<b>2013/14</b>
Female	89.47%	97.76%	86.25%	93.41%	91%	96%
Male	96.18%	89.22%	84.65%	92.58%	98%	99.3%

#### **5. The Number Of Employees Receiving Training**

During the 2013/14 year there was one request for training that was refused. In all other years there have been no instances where requests for developmental training have been refused.

#### **6. The Number Of Employees Who Benefit Or Suffer Detriment As A Result Of Performance Assessment Procedures**

Note: The overall reduction in numbers reported from 2014/15 onwards relates to the change in the number of staff directly employed by the Council.

##### **a. By Ethnic Origin**

<b>2018/19</b>	<b>Performance Rating</b>			
<b>Ethnic Group</b>	<b>Exceeded</b>	<b>Achieved with Merit</b>	<b>Achieved</b>	<b>Partially Met</b>
White	19	90	346	3
Other Ethnic Group	0	1	4	0
Undefined	0	0	0	1

<b>2017/18</b>	<b>Performance Rating</b>			
<b>Ethnic Group</b>	<b>Exceeded</b>	<b>Achieved with Merit</b>	<b>Achieved</b>	<b>Partially Met</b>
White	14	56	359	4
Other Ethnic Group	0	0	4	0
Undefined	0	4	7	0

<b>2015/16</b>	<b>Performance Rating</b>		
<b>Ethnic Group</b>	<b>Exceeded</b>	<b>Met</b>	<b>Partially Met</b>
White	47	387	7
Other Ethnic Group	0	4	0
Undefined	1	10	0

<b>2015/16</b>	<b>Performance Rating</b>		
<b>Ethnic Group</b>	<b>Exceeded</b>	<b>Met</b>	<b>Partially Met</b>
White	50	400	10
Other Ethnic Group	0	6	0
Undefined	1	13	0

<b>2014/15</b>	<b>Performance Rating</b>		
<b>Ethnic Group</b>	<b>Exceeded</b>	<b>Met</b>	<b>Partially Met</b>
White	47	394	12
Other Ethnic Group	0	5	0
Undefined	2	8	0

<b>2013/14</b>	<b>Performance Rating</b>		
<b>Ethnic Group</b>	<b>Exceeded</b>	<b>Met</b>	<b>Partially Met</b>
White	52	497	13
Other Ethnic Group	0	12	0
Undefined	0	16	0

**b. By Disability**

<b>Employees with a disability</b>	<b>Performance Rating</b>			
	<b>Exceeded</b>	<b>Achieved with merit</b>	<b>Achieved/Met</b>	<b>Partially Met</b>
2018/19	2	4	15	1
2017/18	1	1	19	1
2016/17	1	n/a	20	1
2015/16	0	n/a	20	4
2014/15	1	n/a	19	1
2013/14	1	n/a	26	1

**c. By Gender**

<b>Year</b>	<b>Gender</b>	<b>Performance Rating</b>			
		<b>Exceeded</b>	<b>Achieved with merit</b>	<b>Achieved/Met</b>	<b>Partially Met</b>
2018/19	Female	10	47	182	1
	Male	9	43	163	2
2017/18	Female	7	29	210	0
	Male	7	31	160	4
2016/17	Female	26	n/a	221	2
	Male	22	n/a	180	5
2015/16	Female	31	n/a	225	5
	Male	20	n/a	419	5

2014/15	Female	33	n/a	219	8
	Male	16	n/a	188	4
2013/14	Female	28	n/a	282	4
	Male	24	n/a	243	9

d. By Age

2018/19	Performance Rating			
	Exceeded	Achieved with Merit	Achieved	Partially Met
25 and under	0	3	12	1
26-44	11	35	110	1
45+	8	52	224	1

**7. The Number Of Staff Involved In Grievance Procedures**

a. By Ethnic Origin

Ethnic Group	Number of Grievances					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
White	0	1	0	1	1	1
Other Ethnic Group	0	0	0	0	0	0
Undefined	0	0	0	0	0	0

b. By Disability

	Number of Grievances					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
Cases involving employees with a disability	0	0	0	0	0	0

c. By Gender

	Number of Grievances					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
Females	0	1	0	1	0	1
Males	0	0	0	0	1	0

There were no grievances in 2018/19 to monitor for age.

**8. The Number Of Staff Involved In Disciplinary Procedures**

a. By Ethnic Origin

Ethnic Group	Number of Disciplinary Procedures					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
White	10	8	12	4	15	14
Other Ethnic Group	0	0	0	0	2	1
Undefined*	0	0	0	0	0	0

b. By Disability

	Number of Disciplinary Procedures					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
Cases of employees with a disability	0	1	0	0	0	0

c. By Gender

	Number of Disciplinary Procedures					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
Females	1	1	4	2	5	5
Males	9	7	8	2	12	10

d. By Age

	Number of Disciplinary Procedures					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
25 and under	1					
26-44	1					
45+	8					

**9. The Number Of Employees Who Cease To Be Employed By The Authority**

a. By Ethnic Origin

	Number of Leavers					
Ethnic Group	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
White	54	59	53	52	49	50
Other Ethnic Group	0	1	2	2	3	0
Undefined	2	0	3	3	2	1

b. By Disability

	Number of Leavers					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
Leavers with a disability	2	3	4	3	3	0

c. By Gender

	Number of Leavers					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
Female	26	29	31	27	27	22
Male	30	31	27	30	27	29

d. By Age

	Number of Leavers					
	2018/19	2017/18	2016/17	2015/16	2014/15	2013/14
25 and under	1					
26-44	22					
45+	33					

**10. The Number Of Employees Absent Due to Sickness**

**a. By Ethnic Origin**

	<b>% of Staff per Group Taking At Least One Period of Sickness Absence</b>					
	<b>2018/19</b>	<b>2017/18</b>	<b>2016/17</b>	<b>2015/16</b>	<b>2014/15</b>	<b>2013/14</b>
White	65.41%	69.50%	71.10%	71.58%	73.24%	
Other Ethnic Group	20%	40%	50%	87.5%	37.5%	
Undefined*	71.43%	61.54%	91.6%	64.29%	63.64%	

**b. By Disability**

	<b>% of Staff per Group Taking At Least One Period of Sickness Absence</b>					
	<b>2018/19</b>	<b>2017/18</b>	<b>2016/17</b>	<b>2015/16</b>	<b>2014/15</b>	<b>2013/14</b>
Employees absent due to sickness with a disability	68%	86.96%	73.91%	75%	82.61%	

**c. By Gender**

	<b>% of Staff per Group Taking At Least One Period of Sickness Absence</b>					
	<b>2018/19</b>	<b>2017/18</b>	<b>2016/17</b>	<b>2015/16</b>	<b>2014/15</b>	<b>2013/14</b>
Female	69.55%	73.51%	77.69%%	79.49%	76.79%	
Male	60%	63.79%	64.04%%	62.88%	67.37%	

**POLICY REVIEW AND DEVELOPMENT PANEL REPORT**

REPORT TO:	Corporate Performance Panel		
DATE:	21 October 2019		
TITLE:	Annual Sickness Absence Report 2018/2019		
TYPE OF REPORT:	Monitoring – <b>FOR INFORMATION ONLY</b>		
PORTFOLIO(S):	Leader		
REPORT AUTHOR:	Jo Shinn, Personnel Officer (Welfare)		
OPEN	Open	WILL BE SUBJECT TO A FUTURE CABINET REPORT:	No

**REPORT SUMMARY/COVER PAGE**

<b>PURPOSE OF REPORT/SUMMARY:</b>
<p>The purpose of this report is to provide Panel Members with an overview of the Council's key sickness absence related data for the 2018/2019 year.</p> <p>The report includes headline data in relation to:</p> <ul style="list-style-type: none"> <li>• overall sickness absence rates</li> <li>• an analysis of the most commonly occurring absences</li> <li>• a comparison with other Norfolk Authorities</li> <li>• an overview of sickness absence costs and</li> <li>• an overview of identified trends</li> </ul>
<b>KEY ISSUES:</b>
<p>The report highlights that overall sickness absence rates have decreased during the 2018/19 financial year with key data as follows:</p> <ul style="list-style-type: none"> <li>• The total number of FTE days sickness absence decreased by 13.15%</li> <li>• The average days absence per FTE employee decreased from 8.88 to 7.59</li> <li>• The number of FTE days of short term absence decreased by 9.63%</li> <li>• The number of FTE days of long term absence decreased by 12.33%</li> </ul>
<b>RECOMMENDATIONS:</b>
N/A – Monitoring report
<b>REASONS FOR RECOMMENDATIONS:</b>
N/A – Monitoring report

## **REPORT DETAIL**

### **Introduction**

- 1.1 Sickness absence is categorised by short term, long term and industrial injury. Short term absence covers absences less than 20 days with longer periods being classed as long term. Absences are further categorised into thirteen categories of sickness, to match benchmarking standards.
- 1.2 These categories have recently been refreshed to bring them in line with legislative standards and best practice. This will serve to positively impact future data reporting and will not affect the accuracy of current data reporting.
- 1.2 All absences are calculated as full time equivalent (FTE) days.
- 1.3 The report is structured with five appendices:

Appendix A - Shows absences by all categories and service area with a summary column and comparison.

Note that this year I have removed the appendix referencing full and part time workers: this comparison does not seem to offer any meaningful insight.

Note also that Industrial Injury absences and Accident reporting will be taken up by Corporate Health and Safety from this year onwards and I have therefore not included this in my report.

Appendix B - Shows a breakdown of absence by service area and individual category by percentage.

Note that sickness absence categories have been updated during the period to bring them into line with best practice and legislative standards but this will not impact on data reporting.



- Appendix C - This is a new appendix this year, which builds on the data we previously submitted, comparing with County authorities. Now we have added national absence data from the Chartered Institute of Personnel and Development, as comparison with other local authorities does not seem to offer a full enough insight.
- Appendix D - Costings Summary
- Appendix E - Five year trends

## **2.0 Absence Rates**

As evidenced in the total column of Appendix A the number of FTE days lost overall for all absences fell from 3898.22 to 3385.43 FTE days: a reduction of 13.15%.

The FTE days lost to short term absence decreased from 1749.07 to 1580.61, a decrease of 9.63%.

The average short term absence per FTE employee decreased from 3.98 to 3.55 (a decrease of 10.8%).

The number of FTE days lost due to long term absence decreased from 2058.76 to 1804.82, a decrease of 12.33%.

The long term absence as a figure per FTE employee fell from 4.69 to 4.05 (a decrease of 13.6%).

Last year saw an increase in FTE staffing by just over six from 439.18 to 445.78.

### 3.0 Most Common Occurring Absences

Note that Industrial Injury has been removed from this section and will be reported by Corporate Health and Safety.

3.1 Referring to Appendix B it can be seen that the five most common causes of absence by percentage of total FTE days were as follows (with percentage for the previous year shown in brackets):

13.87% (11.10%) - Other Musculoskeletal Problems (excluding back and neck)

13.43% (16.34%) - Coughs and colds (reflects mainly short term absence)

11.71% (9.07%) - Stomach, Liver, Kidney, Digestion

11.10% (23.99%) - Mental Ill-Health

10.60% (7.61%) - Acute medical, including heart attack, stroke

3.2 The most marked change has been the drop in mental ill health-related absences in the period. My summary would be that mental ill health absences are by their nature often lengthy and that a small number of early and effective interventions have had a very positive impact on this category of absence.

However, I would also assert that engagement with early intervention is not always made by individuals, particularly if the workplace is perceived to be impacting on mental health and that although the authority has an increasingly meaningful therapeutic offering in place, its success cannot always be guaranteed.

#### **4.0 Long term individual cases and their bias on data**

- 4.1 Overall the figures continue to be biased to a very large degree by the inclusion of long term cases. This year saw 14 individuals whose long term cases (each amounting for 50+ days FTE absence) ended during the period, and these in total accounted for 1,328.2 FTE days.
- 4.2 Of these 14 long term cases, there were five cases under the category of Musculo-Skeletal Problems, four cases of Mental Ill-Health, three of Acute Medical, and one each of Industrial Injury and Disability-Related absence.
- 4.3 Whilst it would not be good practice to discount these cases it is worthy of note that excluding these 14 cases, the remaining sickness of 2057.23 days (in each absence case amounting for less than 50 days FTE absence), among the 445.78 FTE employees would actually be an average FTE sickness of 4.61 days per employee.
- 4.4 It is also worthy of note that we have put in place new processes to better manage cases of long term sickness absence.

#### **5.0 Benchmarking Comparison**

- 5.1 Each year we provide comparison figures for the other Norfolk Authorities form at Appendix C.

This year, as we have established that data supplied by other authorities has deviated in its content from the initial 2013-2014 calculation, we have improved the fullness of this data to enable a comparison with national data supplied by the CIPD.

#### **6.0 Sickness Absence Costs**

- 6.1 The salary paid during sickness absence decreased by 4.76% totalling £353,378 (£371,070 last year). These are the visible costs; the invisible costs are likely to be

significantly higher including in some cases the cost of temporary cover and overtime to cover absence etc. A breakdown of costs by service area is provided at Appendix D. The five year picture of overall costs is given as appendix E.

## **7.0 Welfare Support Referrals**

7.1 During the reporting period we have honed our welfare offering to bring it into line with best practice and NICE guidelines. Therefore it is often now routine that we signpost in the first instance to the NHS Wellbeing Service. This is advantageous because mental health assessments are carried out and we are then able to offer therapeutic intervention accordingly.

7.2 Alongside the Counselling and Psychotherapy provision already in place for employees, we have added a Cognitive Behavioural Therapist and Eye Movement Desensitisation Reprocessing Therapist, and we commenced referrals here in April 2019.

7.3 The total cost of referrals to the counselling support service during this reporting period was £12,180 (£9,450 last year) but I anticipate that this will fall off sharply during the coming year as signposting to the NHS Wellbeing Service and referrals to CBT and EMDR increase.

## **7.0 Flu Vaccinations**

7.1 A total of 221 (230) staff requested the flu vaccination last year at a cost of £1,597 (£1,590).

## **8.0 Physiotherapy Referrals**

8.1 This year there has been a high number of referrals, with 20 (4 last year) referrals costing £4,508 (£889 last year).

## **9.0 Ill Health Retirements**

9.1 There were no ill health retirements during this reporting period.

## **10.0 Deaths in Service**

10.1 There were no deaths in service during this reporting period.

## **11.0 Conclusion**

11.1 The headline rate of the average FTE per employee decreased overall by 14.5% from 8.88 to 7.59 days. The overall number of days' sickness fell from 3898.22 to 3385.43 days last year.

Within this figure Short term absence decreased per FTE employee by 10.8%. Long Term absence per FTE employee fell by a greater margin of 13.6%

11.2 While the overall reduction in sickness absence is welcomed, the figure continues to be very heavily influenced by a small number of long term sickness cases which remain difficult both to draw to a timely close and to predict in number and outcome.

11.3 The salary costs of absence decreased by 4.76% during this reporting period totalling £353,378 (against £371,070 last year).

## **12.0 Financial Implications**

12.1 As stated within the report.

## **13.0 Policy Implications**

13.1 Sickness Absence Management

13.2 During the year 2018/19 the Authority trialled a revised Sickness Absence Policy. A range of recommendations have been agreed for implementation by April 2020. The key changes can be summarised as follows:

13.2.1 Continue with the 3- and 5-instance trigger points and monitor for consistency

13.2.2 Add in trigger points of

- All sickness reporting during annual leave
- Misconduct during a period of sickness absence (including improper use of social media)
- Potential patterns of sickness absence

13.2.3 Reframe and clarify the trigger process to 3-stages with:

- An initial return to work interview to be conducted by line managers prior to any escalation
- A Service Manager Review – to take place within one working week of employee's return and clarify actions available at Service Manager review stage
- An Executive Director to consider need for and to undertake a case review (this third stage can be delegated to a Service Manager) and clarify actions available at case review stage

13.2.4 Continue to allow employees to request to take annual leave during sickness absence for reasons of remuneration

13.3 Review and ensure a consistent approach to how annual leave during periods of sickness absence are handled

13.4 Continue to work collaboratively to facilitate returns to work and retention

13.5 Introduce a more timely procedure for managing long term sickness absence. HR to continue to work with relevant Service Managers to expediently resolve long term absence cases where there is no prospect of return to work in a reasonable timeframe

13.6 Better define what is a medical 'procedure' that qualifies for categorisation as sickness absence

- 13.7 Line Manager sickness absence training to be reframed as Wellbeing Training, to combine procedural training with training in best practice approaches to supporting employees at work
- 13.8 Consider the introduction of a Drugs and Alcohol policy
- 13.9 Continue with improvements already made to the welfare provision and introduce more improvements required

#### **14.0 Access to Information**

- 14.1 Information from other Norfolk authorities
- 14.2 Chartered Institute of Personnel and Development

**SICKNESS ABSENCE ANALYSIS April 2017/March 2018 versus April 2018/March 2019**

	CHIEF EXECUTIVE		CENTRAL & COMMUNITY SERVICES		COMMERCIAL SERVICES		ENVIRONMENT & PLANNING		FINANCE SERVICES		TOTALS		% Change 2017/2018 to 2018/2019
	2017-18	2018-19	2017-18	2018-19	2017-18	2018-19	2017-18	2018-19	2017-18	2018-19	2017-18	2018-19	
<b>SHORT TERM ABSENCE (UP TO 20 DAYS)</b>													
NO OF FTE DAYS	137.07	139.41	416.64	323.42	638.47	626.28	260.34	235.16	296.55	256.34	1749.07	1580.61	-9.63%
NO FTE EMPLOYEES	21.61	24.32	106.43	104.51	172.51	176.35	64.78	63.15	73.85	77.45	439.18	445.78	1.50%
AVERAGE ST ABSENCE PER FTE EMPLOYEE	6.34	5.73	3.91	3.09	3.70	3.55	4.02	3.72	4.02	3.31	3.98	3.55	-10.80%
<b>LONG TERM ABSENCE (OVER 20 DAYS)</b>													
NO FTE DAYS	40.00	29.36	343.22	313.38	1480.00	1179.59	120.54	58.24	75.00	224.24	2058.76	1804.82	-12.33%
AVERAGE LT ABSENCE PER FTE EMPLOYEE	1.85	1.21	3.22	3.00	8.58	6.69	1.86	0.92	1.02	2.90	4.69	4.05	-13.65%
<b>TOTAL</b>	177.07	168.77	764.25	636.80	2194.50	1805.88	390.88	293.40	371.55	479.58	3898.22	3385.43	-13.15%
<b>TOTAL FTE DAYS LOST</b>	8.19	6.94	7.18	6.09	12.72	10.24	6.03	4.65	5.03	6.19	8.88	7.59	-14.53%



## ABSENCE BY SICKNESS CODES 2018-19

All calculations in Full Time Equivalents (FTE)		Back and Neck Problems	Other Musculoskeletal Problems	Mental Ill-Health	Coughs and Colds	Headaches and Migraines	Eye, Ear, Nose, Mouth, Dental, Sinus	Genitourinary and Gynaecological	Pregnancy or Maternity-related	Stomach, Liver, Kidney, Digestion	Acute Medical inc Heart Attack, Stroke	Recurring Medical inc Asthma, Angina	Other Known Cause	Disability	Total
Chief Executive	2018-19 TOTAL FTE DAYS	7.00	5.00	27.59	30.91	5.34	16.00	12.50	0.00	22.91	0.00	2.76	37.77	4.00	171.78
	2018-19 % OF TOTAL	4.07%	2.91%	16.06%	17.99%	3.11%	9.31%	7.28%	0.00%	13.34%	0.00%	1.61%	21.99%	2.33%	100.00%
	2017-2018 TOTAL FTE DAYS	14.00	18.65	30.92	36.34	0.00	43.81	0.46	0.00	6.50	0.00	1.50	20.50	0.00	172.68
	2017-2018 % OF TOTAL	8.11%	10.80%	17.91%	21.04%	0.00%	25.37%	0.27%	0.00%	3.76%	0.00%	0.87%	11.87%	0.00%	100.00%
Central & Community Services	2018-19 TOTAL FTE DAYS	29.00	16.43	111.69	122.22	1.00	39.22	48.61	2.38	142.66	42.14	36.49	36.80	8.00	636.64
	2018-19 % OF TOTAL	4.56%	2.58%	17.54%	19.20%	0.16%	6.16%	7.64%	0.37%	22.41%	6.62%	5.73%	5.78%	1.26%	100.00%
	2017-2018 TOTAL FTE DAYS	106.19	47.45	171.82	150.23	11.97	9.68	20.81	5.27	84.78	2.00	68.05	3.20	93.68	775.13
	2017-2018 % OF TOTAL	13.70%	6.12%	22.17%	19.38%	1.54%	1.25%	2.68%	0.68%	10.94%	0.26%	8.78%	0.41%	12.09%	100.00%
Commercial Services	2018-19 TOTAL FTE DAYS	122.5	368.25	154.86	162.95	142.34	47.01	39.30	1.86	90.88	311.72	90.18	154.78	69.23	1755.86
	2018-19 % OF TOTAL	6.98%	20.97%	8.82%	9.28%	8.11%	2.68%	2.24%	0.11%	5.18%	17.75%	5.14%	8.82%	3.94%	100.00%
	2017-2018 TOTAL FTE DAYS	61.26	286.39	507.8	191.16	7.50	10.12	12.78	14.85	187.83	269.80	335.74	100.86	13.00	1999.09
	2017-2018 % OF TOTAL	3.06%	14.33%	25.40%	9.56%	0.38%	0.51%	0.64%	0.74%	9.40%	13.50%	16.79%	5.05%	0.65%	100.00%
Environment & Planning	2018-19 TOTAL FTE DAYS	49.24	3.68	37.22	70.26	9.88	4.68	6.12	0.61	32.11	0.00	56.82	27.88	0.00	298.50
	2018-19 % OF TOTAL	16.50%	1.23%	12.47%	23.54%	3.31%	1.57%	2.05%	0.20%	10.76%	0.00%	19.04%	9.34%	0.00%	100.00%
	2017-2018 TOTAL FTE DAYS	7.50	43.54	113.59	89.73	14.27	23.92	14.24	0.00	26.43	0.00	29.70	6.47	0.00	369.39
	2017-2018 % OF TOTAL	2.03%	11.79%	30.75%	24.29%	3.86%	6.48%	3.86%	0.00%	7.16%	0.00%	8.04%	1.75%	0.00%	100.00%
Finance Services	2018-19 TOTAL FTE DAYS	1.00	70.58	40.01	62.89	19.38	28.37	99.72	16.00	102.95	0.65	24.14	12.92	3.00	481.61
	2018-19 % OF TOTAL	0.21%	14.66%	8.31%	13.06%	4.02%	5.89%	20.71%	3.32%	21.38%	0.13%	5.01%	2.68%	0.62%	100.00%
	2017-2018 TOTAL FTE DAYS	16.00	12.49	58.95	134.24	15.80	19.57	3.88	2.74	28.55	8.46	11.50	53.28	0.00	365.46
	2017-2018 % OF TOTAL	4.38%	3.42%	16.13%	36.73%	4.32%	5.35%	1.06%	0.75%	7.81%	2.31%	3.15%	14.58%	0.00%	100.00%
<b>TOTAL</b>	2018-19 TOTAL FTE DAYS	<b>208.74</b>	<b>463.94</b>	<b>371.37</b>	<b>449.23</b>	<b>177.94</b>	<b>135.28</b>	<b>206.25</b>	<b>20.85</b>	<b>391.51</b>	<b>354.51</b>	<b>210.39</b>	<b>270.15</b>	<b>84.23</b>	<b>3344.39</b>
	2018-19 % OF TOTAL	6.24%	13.87%	11.10%	13.43%	5.32%	4.04%	6.17%	0.62%	11.71%	10.60%	6.29%	8.08%	2.52%	100.00%
	2017-2018 TOTAL FTE DAYS	<b>205</b>	<b>409</b>	<b>883</b>	<b>602</b>	<b>50</b>	<b>107</b>	<b>52</b>	<b>23</b>	<b>334</b>	<b>280</b>	<b>446</b>	<b>184</b>	<b>107</b>	<b>3682</b>
	2017-2018 % OF TOTAL	5.57%	11.10%	23.99%	16.34%	1.35%	2.91%	1.42%	0.62%	9.07%	7.61%	12.13%	5.01%	2.90%	100.00%

Note - sickness categories updated for 2019 period for accuracy and compliance

		Back and Neck Problems	Other Musculoskeletal Problems	Mental Ill-Health	Coughs and Colds	Headaches and Migraines	Eye, Ear, Nose, Mouth, Dental, Sinus	Genitourinary and Gynaecological	Pregnancy or Maternity-related	Stomach, Liver, Kidney, Digestion	Acute Medical inc Heart Attack, Stroke	Recurring Medical inc Asthma, Angina	Other Known Cause	Disability
2018-2019 deviance from 2017-2018	TOTAL FTE DAYS	1.85%	13.57%	-57.95%	-25.34%	259.18%	26.31%	295.34%	-8.79%	17.19%	26.49%	-52.88%	46.57%	-21.04%

Local Authority National Average Absence in days per FTE employee	2013-14	2014-15	2015-16	2016-17	2017-18	2018- 2019
Great Yarmouth	9.47	8.89	11.16	9.31	10.74	8.46
Breckland	7.2	11.23	11.7	8.56	Not available	8.61
Broadland	6.7	6.2	5.6	5.4	6.7	5.1
North Norfolk	6.77	6.76	6.05	6.35	5.2	5.22
South Norfolk	7.33	7.99	8.65	8.65	Not available	Not available
Norwich	8.73	9.29	8.99	10.33	Not available	Not available
National Average Absence in days per FTE employee	7.9 (1,2,3)	8.7 (1,2,3)	8.5 (1,2,3)	Survey not conducted	8.5 (1,2,3)	9.8 (4,5,6)
King's Lynn and West Norfolk	7.57	9.69	9.10	10.35	8.88	7.59

1 - Sources: CIPD Health and Wellbeing at Work Report Issued: May 2018 Reference: 7669

2 - 5% Trimmed Mean (A 5% trimmed mean is a method of averaging that removes 5% of the largest and smallest values before calculating the mean. This reduces the effect of statistical outliers.)

3 - Public Service Sector - 231 respondents of which 50 were Local Government

4 - CIPD Health and Wellbeing at Work Report Issued: April 2019 Reference: 7837

5 - Mean

6 - Local Government Sector - 36 respondents



### SICKNESS ABSENCE COSTING SUMMARY APRIL 2018 - MARCH 2019

All calculations in Full Time Equivalents (FTE)	No of Employees	S/T Absence less than 20 days £	L/T absence more than 20 days £	Industrial Injury £	Total Cost £
Chief Executive	24.32	20969	3515	0	<b>24484</b>
Central & Community Services	104.51	38591	35533	0	<b>74124</b>
Commercial Services	176.35	106610	60224	1943	<b>166834</b>
Environment & Planning	63.15	27787	8280	0	<b>36067</b>
Finance Services	77.45	26916	24953	0	<b>51869</b>
<b>TOTAL</b>	<b>445.78</b>	<b>220873</b>	<b>132505</b>	<b>1943</b>	<b>353378</b>
<i>2017 18</i>	<i>439.18</i>	<i>185385</i>	<i>179511</i>	<i>6174</i>	<i>371070</i>

**CORPORATE SICKNESS**

	2018-2019	2017-2018	2016-2017	2015-2016	2014-2015	2013-2014
Long Term Absence – FTE Days Lost	1804	2059	2612	2162	2181	1830
Short Term Absence – FTE Days Lost	1580	1749	1912	1868	2226	2328
Industrial Injury – FTE Days Lost	23	90	36	34	70	59
Total FTE Days Lost	3385	3898	4560	4064	4477	4158
Average Absence per FTE Employee	7.59	8.88	10.35	9.1	9.69	7.57
Cost	£353,378	£371,070	£440,715	£403,493	£446,869	£370,532