



PETERLEE TOWN COUNCIL

Date of Issue: 30th October 2018

A MEETING OF THE RESOURCES COMMITTEE WILL BE HELD ON TUESDAY 6TH NOVEMBER 2018 IN THE COUNCIL CHAMBER SHOTTON HALL, PETERLEE, SR8 2PH at 6.30pm

Mr I Morris M.C.L.H., P.S.L.C.C.

Town Clerk

A G E N D A

MEMBERS PLEASE NOTE THE MEETING IS TO BE HELD ON TUESDAY (FIREWORKS ON MONDAY 5TH NOVEMBER AT 6.30PM)

1. Apologies for Absence

Members are cordially invited to inform the Deputy Town Clerk of their apologies as soon as practicable.

2. To receive declarations of interest

Members are reminded of the need to disclose any interests in items on this agenda, whether pecuniary or otherwise. Please seek advice from the Town Clerk or Deputy Town Clerk prior to the meeting if in doubt. Members are reminded that they can check their published declaration of interests here: <https://bit.ly/2wVyeLA>

3. To approve the minutes of the previous meeting

Members are recommended to approve the minutes of the previous meeting of the Resources Committee on Monday 1st October 2018 as a true and correct record.

(Minutes of previous meeting, copy attached)

4. Internal Audit

To welcome Stephen Carter, Audit and Fraud Manager, Internal Audit, Durham County Council, to the meeting to present his report advising on work undertaken by Internal Audit between 1 April 2018 and 31 March 2019 with coverage provided in accordance with their agreed SLA. (report attached)

5. Report of the Finance Sub Committee of the 18th October 2018

Members are requested to note the payments approved at the meeting of this sub committee. (Minutes of the Finance Sub Committees attached)

6. Request for Financial Assistance, Town Community Initiative Fund Applications:-

(a) Peterlee Lyons FC (under 12 girl's team)

Requesting £598.00, this is a newly established Club and are asking for support to pay for winter coaching facilities and new football equipment.

(b) Groundwork NE & Cumbria, The Project

Requesting £500.00 adding value to the youth sessions, providing a pool table and a games console.

(c) Peterlee Helford United FC

Requesting £250.00 to help start a new Team of Under 7's to help pay the League fees.

(d) Great North Air Ambulance

Requesting £250.00 towards the cost of blood transfusion equipment that could be used at the scene of an accident.

(power: The Localism Act 2018, ss1-8, General Power of Competency)

Copies of the letters and application forms are available for Members should they wish to see them please contact the Deputy Town Clerk or the Democratic Services Officer.

7. Draft Appraisal & Development Policy

To receive a presentation and report from the Town Clerk a first draft staff appraisal and Development Policy (draft policy attached)

8. Volunteer Policy (Amended)

Amended version attached for consideration and approval
(copy attached)

**THE MINUTES OF THE MEETING OF THE
RESOURCES COMMITTEE HELD IN THE COUNCIL CHAMBER, SHOTTON HALL,
PETERLEE ON MONDAY 1ST OCTOBER 2018 AT 6.30PM**

PRESENT: COUN A WATSON (CHAIR)

Mesdames:- A C Long, K Hawley, L Fenwick, K J Duffy & M A Cartwright

Messrs:- C Watkins, S McGlen, G L Carne, S Miles, A Wilkinson, R Moore, T Duffy & S Meikle

The Chairman asked for a minute silence as a mark of respect for the victims of the recent earthquake and tsunami in Indonesia.

22. Apologies for Absence

Apologies had been submitted and accepted from Councillors K Liddell, S Simpson, M McDonnell, T Duffy, V Watson & J Robinson. **RESOLVED the Council approve the reasons submitted at the meeting for absence received from the Councillors listed, and their apologies for absence be recorded.**

23. To receive declarations of interest

Members were reminded of the need to disclose any interests in items on this agenda, whether pecuniary or otherwise. None were disclosed.

24. To approve the minutes of the previous meeting

Members approved the minutes of the last meeting of this Committee held on 3rd September 2018 and they were signed as a true and correct record.

25. Report of the Finance Sub Committee of the 20th September 2018

Members asked on progress with reviewing the Finance Sub Committee and the use of electronic payments and the Town Clerk gave a brief update. Members asked that the final payment for the fencing works not be paid until all of the snagging items given had

been completed and resolved to the full satisfaction of the Town Council. **RESOLVED** the payments approved at the meeting of this sub committee held on 21st June 2018, a copy of the minutes circulated, be noted.

26. Audit 2017/18

The Town Clerk reported receipt of the external auditor's opinion for the 2017/18 accounts and it was confirmed the completion of the audit notice had been posted on the web site in accordance with Regulations. There had been two issues raised by the Auditor and these would be considered at the Council Meeting. **RESOLVED** that the report be considered at the Council Meeting.

27. 2017/18 Quarter One Budget report

RESOLVED this report of the Town Clerk be awaited.

28. Peterlee Town Council Investment Policy

The report of the Town Clerk providing a draft of a new investment policy for the Town Council, had been circulated. Members suggested several amendments which included any changes to the asset register be reported periodically into the Resources Committee. During consideration of the report Members asked about the process for the disposal of assets they were no longer of any use to the Council. **RESOLVED** Members note the content of the report and the attached draft policy, and the feedback provided be included in the policy with the final report being considered at the Council Meeting. **FURTHER RESOLVED** a disposal of assets policy be drafted for consideration by Council.

29. Volunteer Policy

The amended version of the policy and associated documents were circulated for consideration and approval. There were several further amendments made and it was **RESOLVED** this be re drafted and circulated for approval.



RESOURCES COMMITTEE

06 November 2018

INTERNAL AUDIT PROGRESS REPORT

REPORT OF THE HEAD OF INTERNAL AUDIT

Purpose of the Report

1. The purpose of this report is to advise Members on work undertaken by Internal Audit between 01 April 2018 and 31 March 2019 with coverage provided in accordance with our agreed SLA. The report aims to:
 - Provide a high level of assurance, or otherwise, on internal controls operating across the Authority that have been subject to audit.
 - Advise the Committee of significant issues where controls need to improve to effectively manage risks.
 - Advise the Committee of any amendments to the approved Internal Audit plan.
 - Advise the Committee of changes to audit processes and terminology.
 - Track progress on the response to internal audit reports and the implementation of agreed internal audit recommendations.
 - Provide an update on our performance indicators comparing actual performance against planned.

2. The appendices attached to this report are summarised below. Those marked with an asterisk are not for publication (Exempt information under Part 3 of Schedule 12a to the Local Government Act 1972, paragraph 3).

Appendix 1	Risks and Implications
Appendix 2	Progress against the Internal Audit Plan
Appendix 3	Internal Audit Performance Indicators
Appendix 4*	Overdue Actions

Progress against planned work

3. A summary of the agreed plan showing the status of each audit as at 30 September 2018 is attached at Appendix 2.

4. The Appendix shows that one of the seven assurance reviews included within the 2018/19 plan is complete (draft or final report). This relates to the Leisure Gardens – Follow Up review which was added to the 2017/18 plan following a Limited Assurance Opinion being provided and where it was subsequently agreed with the Town Clerk that the review be undertaken in April 2018 and tracked as part of the 2018/19 plan. It should be noted that further to the review, the Assurance Opinion provided within the Final Report was revised to Moderate.

5. Assurance reviews incorporate a consideration of the Council's Risk and Governance arrangements within each activity inspected.

6. The assurance level, if applicable, for each piece of work where a final report has been issued is shown in Appendix 2.

Advice and Consultancy

7. In addition to the Assurance work undertaken, Internal Audit has provided Advice and Consultancy support to the Council in the form of a review of the Shotton Hall and Pavilion Safe and Cash Arrangements which, as requested by the Town Clerk, was agreed to be undertaken as an addition to the 2018/19 plan.

Amendments to Annual Audit Plan

8. There has been one amendment to the annual audit plan as detailed in paragraph 7 above agreed this period.

Outstanding management response to draft reports

9. There are no management responses to outstanding Draft Reports overdue.

Response to Audit Recommendations

10. To provide independent assurance that adequate progress is made in the implementation of agreed recommendations at the appropriate service operational level, all high and medium recommendations contained within the action plans of individual audit reports are followed up by internal audit. In addition, listings of all recommendations outstanding at the end of each quarter are produced and issued to the Town Clerk to assist the Council in its own internal monitoring processes.
11. To allow the progress made at an operational level to be tracked and monitored, the numbers of all recommendations made arising from each audit complete, and evidenced as implemented, are shown in Appendix 2. It should be noted that Internal Audit will not follow up Best Practice matters raised.
12. A summary of outstanding audit recommendations i.e. those not implemented within original agreed or revised target dates, as evidenced through Internal Audit follow up, is given in the table below:

Risk	Actions	Total	Implemented			Overdue	Target	Overdue
Category	Raised	Due	(Due)	(Not due)	Total	Original	Revised	Revised
2016/17								
High	3	3	3	0	3	0	0	0
Medium	24	24	23	0	23	1	1	0
Total	27	27	26	0	26	1	1	0
2017/18								
High	0	0	0	0	0	0	0	0
Medium	20	19	16	0	16	3	3	0
Total	20	19	16	0	16	3	3	0
2018/19								
High	0	0	0	0	0	0	0	0
Medium	12	6	4	5	9	2	2	0
Total	12	6	4	5	9	2	2	0

13. There are six Medium priority recommendations overdue against original target implementation dates. Revised target dates have been agreed in all cases with no recommendation overdue. Details of all recommendations are shown in Appendix 4.

Unplanned work carried out this quarter

14. There has been one unplanned activity as previously detailed in paragraph 7 carried out during the period.

Reports issued with a Limited Assurance Opinion

15. No reports were issued in the period that resulted in a Limited Assurance Opinion.

Performance Indicators

16. A summary of target performance indicators is given in Appendix 3.

Revisions to Internal Audit Reporting Arrangements

17. Further to a self-assessment of the effectiveness of Internal Audit's working arrangements, undertaken in accordance with the requirements of the Accounts and Audit Regulations 2015 by Durham County Council as a large public body, we have made revisions to the reporting of 'follow up' reviews undertaken and in the definitions used for the priority of Internal Audit recommendations and the Overall Assurance Opinion. The revised arrangements will be applied to reviews undertaken in 2018/19 and are as follows:

Follow Up Reviews

18. Where a limited assurance opinion is given and follow up of the audit has been undertaken the current practice of providing a revised assurance opinion will be discontinued. Instead a follow up report detailing progress made and any actions that are still to be completed will be prepared on completion of the review.

Priority of our Recommendations

19. The definition of the priority of recommendations arising from each overall finding are as follows:

High	Action required, that is considered imperative , to improve the control environment so that objectives are not exposed to unacceptable risks through lack of or weaknesses in critical or key controls.
Medium	Action required to improve the control environment so that objectives are not exposed to risks through weaknesses in controls.
Best Practice	The issue merits attention and its implementation will enhance the control environment.

Overall Assurance Opinion

20. Based upon the ratings of findings and recommendations arising during the audit as summarised in risk matrix above we define the overall conclusion of the audit through the following assurance opinions:

Substantial Assurance	There is a sound system of control. Any weaknesses identified expose some of the system objectives to minor risk.
Moderate Assurance	Whilst there is basically a sound system of control, there are some weaknesses, which expose objectives to risk.
Limited Assurance	There are weaknesses in key areas in the system of control, which expose objectives to unacceptable levels of risk.

Recommendation

21. Members are asked, when deliberating over the content of the report, to:

- consider the outturn position on progress made in delivering the internal audit plan for 2018/19 together with that made by managers in responding to the work of internal audit to gain assurance on the adequacy and effectiveness of the internal control environment.
- note the revisions to the reporting of 'follow up' reviews undertaken and in the definitions used for the priority of Internal Audit recommendations and the Overall Assurance Opinion

Stephen Carter, Audit and Fraud Manager, Tel: 03000 269665

Appendix 1: Risks and Implications

Finance -

The programme of work undertaken by Internal Audit supports the Council in maintaining safe and efficient arrangements for the proper administration of its financial affairs

Staffing –

None

Risk -

None

Equality and Diversity / Public Sector Equality Duty -

None

Accommodation -

None

Crime and Disorder -

None

Human Rights -

None

Consultation -

None

Procurement -

None

Disability Issues -

None

Legal Implications -

None

Other Risks

Control risks identified / considered in relation to reviews undertaken

Appendix 2: Summary of the status of work undertaken and recommendations made and implemented

INTERNAL AUDIT SERVICES				High		Medium		Best Practice
Reviews	Schedule	Status	Opinion	M	I	M	I	M
Corporate Governance Risks								
Corporate Governance Arrangements	Q1-4	In Progress						
Risk Management Arrangements	Q1-4	In Progress						
Financial Management								
Core Financial Systems	Q2	In Progress						
Pavilion	Q4	Planned						
Parks	Q3	Planned						
Cemetery Management	Q2	In Progress						
Leisure Gardens – Follow Up	Q1	Final Report	Moderate			1	1	
Unplanned Activities								
Shotton Hall and Pavilion Safe and Cash Arrangements (Advice & Consultancy)	Q1	Final Report	N/A			11	8	
Management								
Audit Planning and Reporting	Q1-4	In Progress						
Total						12	9	

Note: For the purposes of performance reporting, the revised action raised in relation to the Leisure Gardens – Follow Up review is being tracked as issued in 2018/19.

Appendix 3 Performance Indicators for 2018/19

Efficiency		Objective: To provide maximum assurance to inform the annual audit opinion	
KPI	Measure of Assessment	Target & (Frequency of Measurement)	Actual
Planned audits completed	% of planned assurance work from original approved plan complete to draft report stage as at 31 March 2019	90% (Quarterly)	25% (2 out of 8 reviews completed)
Timeliness of Draft Reports	% of draft reports issued within 30 calendar days of end of fieldwork/closure interview Average time taken is also reported for information	90% (Quarterly)	100% (2 reports issued) 5 days
Timeliness of Final Reports	% of final reports issued within 14 calendar days of receipt of management response Average time taken is also to be reported for information	95% (Quarterly)	100% (2 reports issued) 2 days
Terms of Reference	% of TOR's agreed with key contact in advance of fieldwork commencing	95% (Quarterly)	100% (5 TORs issued)
Quality		Objective: To ensure that the service is effective and adding value	
KPI	Measure of Assessment	Target & (Frequency of Measurement)	Actual
Recommendations agreed	% of Recommendations made compared with recommendations accepted	95% (Quarterly)	100% (12 accepted out of 12 made)
Post Audit Customer Satisfaction Survey Feedback	% of customers scoring audit service good or above (3 out of 5) where 1 is poor and 5 is very good Average score is also reported for information	100% (Quarterly)	100% (2 out of 2 returned) Overall average score 4.79
Customers providing feedback Response	% of Customer returning satisfaction returns	70% (Quarterly)	100% (2 returns from 2 surveys issued in 2018/19)

Appendix 4 Outstanding Audit Recommendations Quarter Ended 30 September 2018

	Audit	Year	Action Owner	Priority	Report Issued	Original Target	Revised Target	Recommendation	Progress Update
01	Parks	2016/17	Town Clerk	Medium	22/12/2016	31/03/2017	31/03/2019 31/07/2018 30/06/2018 31/03/2018 30/06/2017	The Council develops and produces, with consultation with Communities, a Play Strategy for the provision and development of parks. This strategy should be subject to periodic review and agreed by members.	QE 30/09/2018 The Play Area Strategy working party met on 25/09/18 and agreed a way forward to recommend to Council for a total allocation iro £400k from capital and reserves to put all parks and play areas out to tender. Town Clerk and Parks Manager working on report to take to Council in November 2018 for consideration.
02	Core Financial Systems	2017/18	Deputy Town Clerk	Medium	19/12/2017	31/03/2018	30/11/2018 31/08/2018	An Assets and Investment policy be developed and approved which would include details of the roles and responsibilities of the officers with regards to the treatment of acquisitions, disposals, and depreciation. This would also need to be compliant with the Small Governance and Accountability for Smaller Authorities in England and / or Cipfa code of practice.	QE 30/09/2018 A draft Assets & investment policy was presented to Resources Committee on 1st October 2018 and the comments received will be fed into the final draft policy to be presented to Council 22/10/18.
03	Core Financial Systems	2017/18	Town Clerk	Medium	19/12/2017	31/03/2018	31/12/2018 31/07/2018	The approval of the fees and charges be included in the minutes of the relevant Council meeting so that the approval process can be evidenced.	QE30/09/2018 - A schedule to fees and charges will be included in the preliminary budget presentations to committee in November/December 2018.
04	Capital	2017/18	Town Clerk	Medium	03/01/2018	30/06/2018	31/12/2018	A Service Asset Management Plan be developed and approved by Council.	QE30/09/2018 This is in progress.
05	Shotton Hall and Pavilion Safe and Cash	2018/19	Town Clerk	Medium	23/08/2018	30/09/2018	30/11/2018	Safe checks be carried out on a periodic basis by an independent officer to ensure that unauthorised items are not being retained in the safe.	QE30/09/2018 Corporate Services Manager has now scheduled periodic safe checks.

Appendix 4 Outstanding Audit Recommendations Quarter Ended 30 September 2018

	Audit	Year	Action Owner	Priority	Report Issued	Original Target	Revised Target	Recommendation	Progress Update
06	Shotton Hall and Pavilion Safe and Cash	2018/19	Facilities Manager & Pavilion Centre Manager	Medium	23/08/2018	30/09/2018	30/11/2018	<p>X readings should be taken for the Bar tills at the end of each shift. The cash should be reconciled to the income and float and a cashing up sheet should be completed.</p> <p>The Bar tills should then be closed down at the end of the night and a "Z" reading obtained. The X and Z readings should be attached to the cashing up sheet.</p> <p>The income should then be bagged / sealed in an envelope and stored in the Bar safe until it is transferred to Reception for banking. The bag / envelope should be clearly identifiable as the income relating to that day. The cashing up sheet should be signed to confirm who carried out the process and reconciliation.</p> <p>The £50 float should then be placed back in the till drawer and returned to the safe for the next shift.</p> <p>When the till drawer is removed from the safe the £50 float should be checked to ensure that the correct starting balance has been maintained.</p> <p>This process should also be adopted for the Reception, Bistro and Shotton Hall Bar</p>	<p>QE30/09/2018 The Town Clerk and Corporate Services Manager requested a bespoke mini-audit of cash and safe arrangements for Shotton Hall and Pavilion in September 2018. The report has been accepted, discussed at SMT, and is now being enacted. The Facilities Manager and new Pavilion Centre Manager are currently drafting new written procedures.</p>

PETERLEE TOWN COUNCIL
FINANCE SUB-COMMITTEE
HELD IN THE COUNCIL CHAMBER,
SHOTTON HALL, PETERLEE
ON THURSDAY 18th OCTOBER 2018

Present:-
Councillor K Duffy & R Moore

11. **DIRECT DEBIT AND CARD PAYMENTS**

RECOMMENDED the payments listed for September 2018, be accepted.

12. **ACCOUNTS FOR PAYMENT**

The accounts for payments for October 2018 amounting to £47,729.68, a copy of which had been circulated to each Member, were considered.

RECOMMENDED the payments as listed, be made.

Introduction

1. Peterlee Town Council is committed to being an excellent employer that supports its staff to be happy and successful in their roles. The Council also expects its employees to do their jobs to the best of their abilities, to behave as courteous, professional, representatives of the Council and to abide by the rules and requirements of their employment.
2. Through this Appraisal and Development Policy, the Council sets out how all employees will be appraised against the Council's behavioural Competency Framework and their specific personal objectives, and how managers will agree any personal or professional development activities that are required to help an employee be successful in their role.
3. The Policy applies to all Council employees, with the exception of casual staff working less than 8 hours per week and agency staff.

Associated documents

4. This policy and guidance notes compliment and are related to:
 - Individual role job descriptions and statement of particulars - setting out the specific elements of every member of staff's role, and terms & conditions;
 - The Council's Standing Orders and Committee Terms of Reference – sets out the role of the Council and its committees;
 - Officer's Code of Conduct - sets out detailed expectations on staff conduct both on and off-duty;
 - Disciplinary Policy - sets out the process for dealing with problems relating to an individual's conduct or capability to do their role;
 - Training & Development Policy - sets out the Council's policy on how staff and members are trained and developed for their roles.

What is performance appraisal?

5. A performance appraisal is an opportunity for an employee and their manager to meet to:
 - Discuss job performance and receive feedback on how they are doing;
 - Discuss the achievement of any previous objectives, targets and behavioural competencies that have been agreed;
 - Set specific objectives and targets for the coming year;
 - Assess current training and development needs;
 - Discuss any support required from the manager;
 - Provide an opportunity for employees to give feedback to their manager about how they are being managed.

6. A performance appraisal can be thought of as a recorded conversation about the 'What' and the 'How':
 - What am I required to do? – the actions and activities that I am required to do as part of my job;
 - How am I expected to do it? – the way that I am expected to behave when I am doing my job.

7. A performance appraisal will be part of a regular dialogue between managers and staff. Staff will already be engaged through Team Meetings, 1:1s, training events, etc and so all staff should be aware of the general requirements of their role, their current performance, etc. There should be no major surprises in a performance appraisal session!



Figure 1: It's important for the appraisee and appraiser to prepare for an appraisal meeting!

Roles in Performance Appraisal

8. There are a number of roles in this Council's Appraisal and Development process:
 - The Council – agrees the policy framework, and sets the annual training budget;
 - Personnel Sub-Committee – carries out the Town Clerk's appraisal;
 - Town Clerk – appraises the Senior Management Team (SMT);
 - Managers – appraise their staff, as 'the appraiser';
 - Staff – all staff are 'appraisees', and receive an annual appraisal plus bi-annual (6 monthly) performance reviews;
 - Human Resources – may provide training and advice to the Council and its staff on issues relating to appraisals but would not usually be directly involved in the appraisal process.

9. All Appraisees are responsible for:
 - Gathering examples of their own performance and discussing these with their manager during appraisal meetings;
 - Giving their manager constructive feedback about the way in which they are managed;
 - Discussing any personal or professional aims and aspirations and agreeing a programme for development;
 - Self-assessment of their own performance as part of the annual appraisal process.

10. Appraisers are normally the appraisee's immediate line manager. They are responsible for:
- Giving a minimum of 2 weeks notice before an appraisal meeting;
 - Arranging the meeting, and organising the venue;
 - Arranging a pre-meeting if necessary to clarify any points and explain the competency framework (if required);
 - Preparing well for the meeting, including checking job descriptions, reviewing performance against any previous objectives and targets, any issues that may have impacted on performance (such as absence records, etc);
 - Maintain regular contact with their staff throughout the year so that they are in a position to discuss their level of performance – nothing raised in the performance appraisal should come as a surprise!
 - Provide help and support to appraisees to assist them to achieve their professional and personal objectives;
 - Acting on constructive feedback they receive from appraisees about their own performance;
 - Completing the required paperwork and forms, and sending these to the Town Clerk for approval and filing.

Conducting the Appraisal

11. The appraiser should:

- Ensure that the appraisee has a copy of the previous appraisal forms (if applicable) a minimum of two weeks before the appraisal meeting;
- Review the main duties and responsibilities of the appraisee;
- Review the previous period (if applicable);
- Discuss any factors that may have affected performance;
- Listen to what the appraisee is saying...this is their time to talk about their performance;
- Recognise work well done, and discuss any areas for improvement;
- Discuss and agree objectives for the next period;
- Review the appraisee's personal development plan and any development needs;
- End on a positive note!



Figure 2: this not how an appraiser should behave!

Town Clerk

12. The Town Clerk will review all appraisal forms before they are filed on an individual's personnel file. The Town Clerk's role is not to give a second opinion, but to ensure that the

quality of the appraisals for all employees is equitable and that line Managers have the support they need to be able to do a good appraisal. The Town Clerk will not usually be involved in the actual appraisal of staff other than SMT members, and will be the first line of appeal where an appraisee has been unable to resolve a dispute with the appraiser.

Performance Appraisal process

13. The appraisal process is divided into three stages:
 1. Preparing for the performance appraisal;
 2. Conducting the performance appraisal; and
 3. Taking agreed action after the performance appraisal.

14. The appraiser is responsible for recording the appraisal on the appropriate forms and for signing the completed document. This can be hand written or completed electronically. The completed documents should then be provided to the appraisee for comment (if they wish to) and signature. The appraiser then provides the completed form(s) to the Town Clerk for endorsement prior to filing.

The Competency Framework

15. 'Competencies' is another word for the behaviours that the Council expects effective staff to display when they are performing their duties. Competencies are observable and measurable, and they can also be improved and developed.

16. The Council's competency framework provides a link between what the council is trying to achieve as a whole, and individual behaviour and performance. The Council's competency framework is attached as appendix 2 to this policy. All staff are required to familiarise themselves with this framework, and managers should routinely discuss the behaviours in the framework during 1:1s with individual staff and in team meetings.

17. The Council has adopted 6 main competency areas that it requires its employees to work towards:
 - **Customer First:** putting the customer (internal and external) at the heart of everything we do to provide an excellent service;

 - **Working with Others:** working together to improve how we provide services and supporting each other through change;

 - **Communicating well:** conveys information clearly and effectively, in a way which helps people understand;

 - **Personal Impact:** is self-aware, acts pro-actively and accepts responsibility for achieving results;

 - **Building Our Future:** wanting to be the best and working together to achieve this. Making improvements through being efficient and delivering value for money;

- **Delivering results:** continually improving performance and introducing new ideas into the Council to achieve results.
18. The specific behaviours required for each competency depends on the level at which the employee is working, ie Senior Managers are expected to demonstrate a higher level of competency than Team Leaders/Deputy Managers, who are themselves expected to demonstrate a higher level of competency than team members.

Induction Appraisal

19. Within 4 weeks of starting employment with the Town Council, or moving to a new job with a substantial change of responsibilities, all employees must meet with their manager to undertake a performance appraisal induction.
20. During the induction appraisal interview the manager and employee will discuss:
- A date for the 6 month probation appraisal as well as 1:1s and/or observations if applicable;
 - Objectives and targets for the first 6 months;
 - Any training and development needs such as induction e-learning, H&S, etc
 - Any areas of support required from the manager, and when and how this will be provided.
21. This meeting will be recorded on the Performance Appraisal Induction Form found in appendix 3 to this policy.
22. The induction checklist should be used for any employee starting a new job or transferring to another post within the Council. The checklist can be obtained from the Corporate Services Manager or the Admin team at Shotton Hall.

Probationary Appraisal

23. As well as the induction appraisal within 4 weeks of starting their new role, employees who are subject to a probationary period will have a probationary appraisal before the end of the 6 month period. It is important that managers plan the performance appraisal probation meetings and record them on the correct form, as found in Appendix 4 to this policy.

Annual Performance Appraisal

24. The annual appraisal meeting is an opportunity for the appraisee and appraiser to have a constructive discussion about the quality of the appraisee's performance during the previous year. 'Quality' can refer to both their achievement of set objectives/targets and also their behaviour in relation to the competency framework level that is relevant to their role.
25. The appraisee should provide details and evidence of their performance against objectives/targets set and assess how well they have met those objectives/targets. The appraisee should also discuss how they have demonstrated each of the competencies and identify their strengths as well as any areas for development. The appraisee should also reflect on any training and development needs previously identified and the outcome of any training and development received since the last appraisal.

26. The appraisee and appraiser will then set objectives/targets for the next 12 months.

Disagreement

27. If an appraisee and appraiser have a disagreement about any aspect of the appraisal they should meet to discuss this within 5 calendar days of the appraisal meeting. There must be genuine substantial reasons for the disagreement, and not merely a disagreement about the process.

28. If the disagreement can't be resolved between the appraisee and appraiser then the appraisee may write to the Town Clerk within 5 days of the meeting (para 24 above). The Town Clerk will seek to resolve the matter within 5 working days of receiving the written disagreement. The Town Clerk may interview the appraisee and appraiser as part of the resolution process if required and record any findings on the performance appraisal documents. The Town Clerk's decision on the matter is final.



Figure 3: disagreements can happen from time to time...

Appendix 1: Basic summary of the performance appraisal process

DRAFT

Customer First: putting the customer (internal and external) at the heart of everything we do to provide an excellent service		
Team Member	Team Leader/Deputy Manager	Senior Manager
<ul style="list-style-type: none"> • Has an understanding of the range of services provided by the Town Council to customers (internal and external) • Creates a positive first impression • Shows a genuine interest in both colleagues and customers • Treats colleagues and customers with dignity, respect and fairness • Responds to customer needs in a proactive and timely manner • Delivers a consistently high level of customer service • Maintains customer confidentiality • Takes ownership in dealing with customer queries. 	<ul style="list-style-type: none"> • Has a detailed understanding of the range of services provided by the council to customers (internal and external) • Develops systems and processes to ensure a consistent and quality customer service is delivered • Works together with partners to improve services to customers • Consults with customers and listens to what they say to develop service delivery that is efficient and offers value for money. 	<ul style="list-style-type: none"> • Has a comprehensive understanding and an influence over the range of services provided by the council to customers (internal and external) • Ensures that policies and strategies meet customer demands and expectations • Promotes a culture of delivering excellent customer service • Ensures our services are accessible and easy to use • Routinely evaluates opportunities and threats to the delivery of great customer service • Considers the impact of wider council initiatives or plans on delivery of service.

DRAFT

Working with Others: working together to improve how we provide services and supporting each other through change.

Team Member	Team Leader/Deputy Manager	Senior Manager
<ul style="list-style-type: none"> • Has an understanding of the roles and responsibilities of key groups and individuals you work with • Can build professional relationships with people in your own work area, other service areas and agencies • Polite, approachable, cooperative and open in dealing with others • Listens and respect the views of others • Provides support when needed to help others • Shares knowledge and learning within own team and with other colleagues • Responsive and professional in dealing with requests • Understands and respects diversity; being inclusive and treating everyone fairly • Provides specific, balanced and constructive feedback to others on their performance • Asks others for feedback on own performance for future learning and development. 	<ul style="list-style-type: none"> • Has a detailed understanding of the different areas of the council and how they operate and interact • Builds relationships with colleagues, other service areas and external partners • Encourages questions and opinions from a diverse range of individuals in order to achieve better results • Is open-minded and prepared to promote the ideas of others • Delegates appropriately and empowers employees to make decisions • Promotes and manages diversity • Provides ongoing coaching and mentoring to team members – equipping them with skills to do their job better and reach their full potential • Gives credit to team members for their contribution to team goals • Provides regular feedback and support to employees e.g. through 1 to 1 meetings and team meetings 	<ul style="list-style-type: none"> • Has a comprehensive understanding and an influence over the different areas of the council and how they operate and interact • Develops external relationships to build effective local/regional/national partnerships to aid the smooth delivery of council business and service objectives • Values and respects diversity of opinions and approaches • Looks to obtain and incorporate viewpoints of others including service users • Builds teams that are diverse, competent and motivated and able to meet service requirements • Creates opportunities for others to develop positive relationships with stakeholder groups • Ensure that their service area understands how their work contributes to the organisation’s strategy and objectives • Provides ongoing coaching and mentoring to colleagues – equipping them with skills to do their job better and reach their full potential • Actively reviews relationships with stakeholders, identifying which need to be improved • Continually works to promote good working relations between teams across the council.

Communications: conveys information clearly and effectively, in a way which helps people understand

Team Member	Team Leader/Deputy Manager	Senior Manager
<ul style="list-style-type: none"> • Open and transparent in communication • Communicates clearly using appropriate language and tone, explaining any technical terms • Checks that people have understood what was said • Shares relevant and appropriate knowledge and information with colleagues and other stakeholders • Identifies the most appropriate method of communication given for what needs to be conveyed • Produces accurate and concise communications for colleagues and clients • Responds promptly to letters, emails and phone calls when required • Uses clear language and 'plain English' as much as possible. 	<ul style="list-style-type: none"> • Is accessible to the team • Communicates effectively on a range of issues at all levels, presenting information in a clear concise, objective and accurate way • Confidently conveys information to others, adapts style and content to meet the needs of the audience • Encourages open discussion on key issues and/or council changes • Communicates key messages to employees • Listens actively, asking questions and clarifying points to check understanding • Shares important information promptly, with all those who need it. 	<ul style="list-style-type: none"> • Sets the style and tone of communication for the team/ service area • Can articulate complex technical and business issues in a concise, readily understood manner • Sells ideas by exploring the concerns of others and clearly explaining the rationale behind the proposed solution • Supports others by creating opportunities for them to contribute to discussions • Facilitates cross-service area communication to ensure information flows between services • Puts procedures in place to ensure that all employees have a voice within the council.

Personal Impact: is self-aware, acts pro-actively and accepts responsibility for achieving results

Team Member	Team Leader/Deputy Manager	Senior Manager
<ul style="list-style-type: none"> • Has a clear picture of role purpose and personal responsibilities • Shows confidence in ability by being positive and enthusiastic in the delivery of work • Proactively seeks new challenges and opportunities to learn from experience • Improves performance by learning from past experience • Approachable and maintains confidentiality • Takes responsibility for identifying own development needs • Sets achievable personal goals • Has ability to perform under pressure. 	<ul style="list-style-type: none"> • Is flexible, adaptable and open to change • Takes responsibility for making things happen and seek new ways of working • Proactively seeks new opportunities to develop yourself and the department/business • Takes calculated risks to achieve results, even when the full impact has not been determined • Influences attitudes and opinions • Gains support through persuasion, proposals and courses of action • Leads by example – reflecting on feedback and behaving in a way that reinforces the tone and direction of the team • Is aware of own behaviour and impact on others • Shares ideas, best practice and learning. 	<ul style="list-style-type: none"> • Demonstrates own commitment to change • Aims to create a learning organisation incorporating feedback from stakeholders • Generates ideas for improvements at an organisational level • Identifies where organisational improvement can be made • Influences people internally and externally in appropriate ways to achieve the objectives of the council • Leads by example – role modelling the council values and competence.

Building Our Future: wanting to be the best and working together to achieve this. Making improvements through being efficient and delivering value for money

Team Member	Team Leader/Deputy Manager	Senior Manager
<ul style="list-style-type: none"> • Understands how your role contributes to the council's vision and corporate plans • Has an understanding of service priorities for the next year • Adapts to meeting changing service objectives and priorities • Listens to new ideas and is prepared to adapt how they work • Keeps up to date with council news and challenges • Has an appreciation of the environmental impacts of the council's work and how they can contribute to reduce carbon emissions. 	<ul style="list-style-type: none"> • Has a detailed understanding of the council's vision and how it applies to the team and other professional and agencies • Assesses the impact of wider changes in the council on the strategy and plans of the team • Applies the council vision into local strategies and plans • Uses relevant information to inform the development of the team strategy and plans • Promotes the future vision of the council to stakeholders • Seeks out new ways of doing things, encourages innovation and constructive challenge • Works collaboratively across service groupings and external agencies to deliver improvement • Is positive about the future of the council • Celebrates success both within the team and across the wider council • Promotes and facilitates changes 	<ul style="list-style-type: none"> • Develops and articulates the vision of the council • Connects plans, policies, strategies and services to promote one-council working • Leads the development and implementation of corporate policies at a strategic level • Anticipates future requirements and plan to meet them • Encourages others to be forward thinking and innovative in the delivery of the council vision • Proactively links with stakeholders to identify their needs and shape the council's agenda • Has an appreciation of the changing political agenda and how this impacts on service delivery • Proactively keeps up to date with Government initiatives and assesses how these impact upon the council's vision • Has a technical and political understanding of the workings of the council.

Delivering results: continually improving performance and introducing new ideas into the Council to achieve results

Team Member	Team Leader/Deputy Manager	Senior Manager
<ul style="list-style-type: none"> • Takes pride in work and always aims to deliver quality results • Focuses on results by identifying opportunities to improve processes or procedures • Demonstrates the ability to take the initiative • Anticipates obstacles and problems and take corrective action • Puts forward new and innovative ideas or suggestions, outlining the benefits they would bring • Considers new ideas and feedback from others • Aims to meet agreed targets and deadlines. 	<ul style="list-style-type: none"> • Sets and promotes high standards of performance • Incorporates council and service change initiatives into actions for the team • Evaluates how you and the team could deliver a better/more efficient service • Understands what needs to be done to make a new idea work within the council • Engages stakeholders early in the development of new products or services to ensure they are fit for purpose • Ensures timely, constructive action is taken to address performance issues • Constantly reviews workloads against available resources • Actively researches and benchmark against other service groupings/sectors to ensure best practice is delivered. 	<ul style="list-style-type: none"> • Creates a culture of innovation and creativity – welcoming new ideas from all team members • Leads teamworking across the council to improve overall performance • Looks to benchmark against excellent organisations, from all industries, to identify opportunities for change and improvement • Takes a lead role across the council and service grouping in the development and implementation of change initiatives • Develops and delivers services based on awareness and understanding of Peterlee's diverse community • Defines the common goals that all service groupings are working towards • Creates the structures, roles and responsibilities to maximise available resources.

[Appendix 3: Induction Appraisal Form](#)
[Appendix 4: Probation Appraisal Form \(3 month\)](#)
[Appendix 5: Probation Appraisal Form \(6 month\)](#)
[Appendix 6: Annual Appraisal Form](#)
[Appendix 7: Group/Team Appraisal Form](#)

[note: these links will be live in the final document]

DRAFT

Peterlee Town Council

Volunteering Policy Statement

Our Aims

- 1. To make volunteering as enjoyable and enriching as possible.**
- 2. Recognise that volunteering provides the capacity to build skills and confidence and contribute towards individual's personal development.**
- 3. Respect volunteers and their input, in both listening to and hearing from what they have to say – feedback from volunteers is always welcome.**
- 4. Acknowledging volunteering is of wider benefit to society, as well as to the Town Council in providing extra resources to help us deliver our services.**
- 5. Valuing volunteers and the important role volunteering has to play in helping people who are excluded from society to participate and become active members of their communities.**
- 6. Recognise that volunteering is at the heart of strong communities.**
- 7. Develop a core number of volunteers to make volunteering projects sustainable.**

As a Volunteer you can expect

- A supportive and positive environment that ensures an enjoyable experience.**
- To be treated with respect.**
- Induction and opportunity to undertake appropriate training.**
- A named contact for support.**
- Relevant and up to date information and advice**
- That we will have risk assessed any activity that we ask you to undertake as a volunteer.**

- Recognition and thanks.

What do we expect from a volunteer?

- Carry out the agreed project/role to the best of your ability.
- Respect confidentiality whenever you have access to confidential information.
- Give us honest feedback and ideas for improvement.
- Be accountable and accept constructive comment.
- Take part in relevant training.
- Ask for support if you need it.
- Treat staff and your fellow volunteers with the courtesy you would expect to receive.
- Comply with our policies, procedures and standards.
- Undertake your work safely and report any concerns immediately.
- Be reliable, tell us if you are unavailable or running late.

Examples of volunteering opportunities with Peterlee Town Council are:-

- Helping out at an organised litter pick
- Helping out at one of our many Town Events such as the Peterlee Show, Remembrance Parade, Armed Forces Day, Community Cinema etc
- Getting involved in a Friends of the Park group or similar activity with a Friends of Group.

How do I become a Volunteer with PTC?

1. Complete a volunteer application form (*insert web link.....*)
2. We will contact you to discuss your application and arrange a meeting
3. When we have agreed the most suitable form of volunteering activity for you, you will then complete a volunteering agreement (again insert the link.....)
4. We appreciate and value the input of under 16's and encourage families to take part in volunteering, however under 16's need to be accompanied by a responsible adult/guardian/parent.

#wearePTC

As at November 2018

Volunteer Peterlee Application Form

Title: Mr Mrs Miss Ms

Name:..... Date of Birth:/...../.....

Address:.....

Postcode: Contact Number:.....

Email address:

Emergency Contact Details:

Name:	Relationship to the volunteer:
Address:	
Contact Number:	

Employment status

Employed Unemployed Retired Student

PTC is committed to keeping you safe. Do you think consider yourself to have a disability or medical condition that you think we should be aware of?

Yes No

If yes, please let us know what we should be aware of:-

.....

We are positive about promoting equality of opportunity for everyone; this includes making reasonable adjustments to encourage disabled people who wish to take part in volunteering activities. If you require any assistance please can you state below what type of assistance we can give you:

.....

.....

Are you currently taking medication that you would like to make us aware of? Yes No

Please specify.....

Reason for volunteering

It is useful for us to know a bit more about what reason(s) you have for volunteering. Please tick one or more of the boxes below:

Paid Employment Skills/Experience Qualifications Make good use of time Social Wellbeing

Give something back to the community Mental Wellbeing Physical Wellbeing

Other

Please specify.....

Data Protection and Fair Processing Form

The information that you have provided in this application form will be held in a Volunteer Database. This is a database of all volunteers in Peterlee who have consented to their inclusion.

The information will not be used by PTC for any purpose not listed below.

Information will not be disclosed to other third parties by PTC, except where required by law, by any order made by the Secretary of State or by a Court Order. Some of the information that you have provided on this questionnaire is deemed to be Sensitive Personal Information under the Data Protection Act. Please sign the declaration below indicating that you give consent for the processing of your information, that you have freely given, for the purposes stated within this application.

At PTC, we only use your personal information to administer your account and to provide products and services you have requested from us.

However, from time to time we would like to contact you with details of other volunteering opportunities, volunteer development/training we provide.

Purpose 1- To produce anonymised reports for statistical and work programming purposes.

Purpose 2- To provide you with information that may be directly related to your volunteering role.

Purpose 3- To contact, and to consult you, regarding wider volunteering activities/opportunities with PTC.

We require your consent to contact you for purpose Number 3 above. If you are happy to be contacted for this purpose please tick this box

My preferred method of contact is (please tick all that apply).

Post Email Telephone Text message

Print Name..... **Signature**

Date.....

Parental consent is required for all persons under the age of 16 years of age engaging in volunteer opportunities within PTC. Please sign if applicable:

Parent/Guardian: Print name..... Signature.....

Relationship to under 16 volunteer

Email Address: phone number:.....

#we are PTC

Data Protection Act 2018

Data Controller: Peterlee Town Council. All issues relating to the Data Protection Act 2018 should be addressed to: Town Clerk, Peterlee Town Council, Shotton Hall, Peterlee Co Durham SR8 2PH