Qualification: CIPD Diploma in Applied Human Resources

5AIOP - Contributing to Improving Organisational Performance

Word Count: 2925

Student Name: Lowri Ann Davies

Student Number: 1104209

CIPD Membership Number: 49370121

By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed: L Davies

Date: 01/08/2019

LO1 - Be able to contribute to the delivery of performance management activities within the organisation.

To achieve high levels of performance from the organisation and individual, it begins from the recruitment process (Taylor 2016). The recruitment policy highlights the importance of discovering the correct individual for the role which can contribute and be developed to achieve effectiveness within the organisation (E001). It is the line manager's responsibility to discover the need of the organisation and department in achieving their priorities but meeting legislative requirements when recruiting a new member of staff. HR Professionals will develop the policy and question their decisions but expect line managers to bring to life (George and Hayden 2018).

For every new employee, they must complete an induction. It allows employees to be integrated successfully into the business, clearly identifying their roles and expectations, and can ease the worry of beginning a new job, within a timely manner (E002). It has been stated that this can lessen staff turnover which also refers to Huselid financially proving that utilising more HR bundles with an organisation led to this (1995). From March 2019, ONS reported that UK employment rate is higher than a year earlier and the unemployment was 3.8%, the lowest since 1974 (ONS 2019). Each induction will be personalised for each role but will including mandatory areas i.e. Health and Safety, Policies & Procedures Equality and Diversity, introduction to employees. For example, Support Workers are required to complete an All Wales Induction Framework from Social Care Wales which constitutes of 7 handbooks. Within the handbook there are 5 areas of training that employees must demonstrate that they are aware of its requirements. We have included these as online training courses to be completed as part of their first week induction (E003). By following the AMO Model, it demonstrates that staff will have the Ability, Motivation and Opportunity to understand and fulfil the requirements of their role from the beginning (Armstrong 2017).

The Probationary Review meetings are held on a 3 monthly and 6 monthly basis with the option of an extended review. The intent of holding these meetings are to resolve concerns early on in the employee's employment and note successful areas and ones for improvement (E004). The form provides a realistic approach on what support and training the association can offer the employee with appropriate solutions to sustaining their performance (E005). During the process, there is also opportunity for the line manager to manage and assess the individuals performance informally (on a day to day basis) or formally during supervision meeting. It is another avenue used to encourage employee's that have poor performance to work on their actions prior to the final review meeting (Taylor 2016).

I had shared with a line manager that a new starter had expressed an interest in participating in a Level 4 qualification. Concerns had previously been raised during supervision meetings that their performance was poor by not being able to meet deadlines and quality of work produced. I suggested that the content of the course be discussed at the 6 month probationary review to identify if it will increase their knowledge and understand in the areas they are performing poorly. If it was unsuitable and would put more demand on the employee on their work inside and family life, alternative avenues should be considered i.e. coaching (E006).

The Supervision policy states that the meetings are held to support all employees. It provides assistance on a one to one basis to support work planning, performance management and personal development (E007). It is provided on a one to one basis and is used to identify achievements, develop any necessary work plans and deal with any instances of underperforming and not left until appraisal review. Supervision links to the disciplinary and capability policy in that it is the starting point for dealing with concerns outside of any formal procedures. An employee had verbally shared her

concerns with me following a supervision meeting. She had advised that she believed that her line manager had lied about an incident and believed that she was out to get her. I spoke with both parties and it believed to be a miscommunication. Instead of taking the approach of raising the issue formally and following the Acas Code of Practice (E008), it was agreed that I'd informally assist with resolving the grievance. The matter was resolved by holding a meeting the following day between both parties, providing an opportunity for both of them to speak and signing that they have agreed to the content of the meeting (E009).

The Performance Appraisal Policy demonstrates to employees what is expected from them within in their role and how they are performing (E010). It is the responsibility for both employee and line manger to complete the form accurately with an opportunity to share thoughts during a review meeting (E011). It is HR's responsibility to work with line managers to collect, monitor and share advice on concerns noted within the form. Concerns had been raised by employees with the lack of consistency and understanding of the organisations priorities and how their day to day work is able to contribute towards this. To ensure that this matter would be resolved, a consultation briefing was held during a Management Team Meeting. Management were encouraged to use their employee voice and it was agreed that corporate priorities and aims would be agreed and cascaded through appraisals beginning with Chief Executive and finishing with employees within a 2 month timescale (E012). Here, employees would have a clear understanding of how their workload contributes to the organisation achieving their goals (Reilly 2016). Also, comparing achievement and future objectives of employees against organisational values to ensure that they work towards this behaviour.

The organisation's Annual Report and Business Plan is presented to the Welsh Government and is part of their Regulatory Judgement report which can either be passed or failed. The association have passed this every year as they are able to provide satisfactory links to their auditors as employees have a clear understanding of the organisations aims and objectives (E013)

Recruitment, Induction and Training are all aspects of high performance working attributes which the association have proven they provide. It encourages employees people to be initiative, enthusiast and determined to meet and exceed objective (Armstrong 2017).

LO2 - Be able to support line managers to deliver performance management activities within the organisation.

A significant part of the organisations success is ensuring that the performance management process is effective and employees are motivated to fulfil above and beyond their role. An aspect of being a line manager is becoming a leader. They are considered as role models leading the team to high productivity and success (ACAS 2016).

Acas highlights that it's the line manager that it most likely to encourage and motivate its employees to understand their goals and contribution towards organisation priorities leading to its success (Acas 2012). From this, it is clear that line managers need to develop a trustworthy and respectful relationship with their employee. Currently, it isn't possible to leave your home life at the door and line managers need to make the effort and take the time to know the employee well enough to recognise when there is a change in their appearance or work ethic. Line managers are encouraged to do this by being open and honest, treat all employees fairly and promote personal development opportunities (Mental Health Foundation n.d.). Here, line managers are encouraged to adopt and cascade the organisations culture and values (E014) in everything they do, to allow employees to speak up from managing their workloads to reviewing policies and procedures. Although, line managers need to clearly set the difference between a work colleague and friendship, which will ensure fairness within the team and avoid favouritism.

Due to a family grievance, in (E015) a newly appointed staff member was absent from work for 2 months within their first 3 months in post. According to our policy, it was required that probationary reviews be completed after 3 and 6 months for permanent employees (004). The line manager expressed her concerns and I had been able to provide her advice and guidance to take into consideration the employees' ability to fulfil their role, wellbeing and prioritisation with many tasks to complete. The line manager expressed her gratitude in receiving this information, as it had allowed her to become more confident in her original decision but her mind had been broaden to other ideas to allow the employee to pass his 6 month probationary.

Senior managers and HR professionals with coach the line manager from their induction throughout their employment. From the beginning, this will allow line managers to understand their responsibilities and manage expectations. Missing this opportunity can lead to poor performance cascading through to teams. The Association have developed their induction process (003) from the beginning, to ensure that line managers will shadow senior managers for the first week of employment. Supervision meetings are held on a monthly basis for the first 6 months (007), to monitor progress and implement actions, if necessary. The meetings can promote two way communication and allows managers to feed their thoughts upwards but gather information to share within their team. More recently, a management meeting is held once a month within the organisation. It allows managers to network, share good practice ideas and provide solution to problems that have arisen (E016).

Within the association, they have developed a HR system which records annual leave, sickness absences and TOIL on an electronic form (E017). Line managers are able to access this information on all their employees at any time of day. This information is used by line managers during supervision meetings to inform employees of where they currently stand. According to our absence policy, employees are encouraged to use their leave and take the time to look after their wellbeing, which could result in lower sickness absences (E024). The accessibility to information is more efficient and quicker, to allow more time in managing employees. (George and Hayden 2018).

HR will complete the administrative side of recording, filing and monitoring performance management data and inputting on to the electronic systems. It's ensuring that the information is up to date for both parties and sending out friendly reminders that the next performance meetings are due (E019)

All policies and procedures are available on the association's staff portal (E020). This is a central location that all staff can access. These can be used as guidance notes when dealing with performance management processes i.e. grievances, appraisal, and absence management. As previously referred to, line managers are crucial in bringing these policies to life and implanting their practices (Taylor 2016).

In (E021), I demonstrated my professionalism when a new line manager had received a flexible working request from one of her employees. It had been previously brought up in a supervision meeting but it had been asked that it be submitted in writing to the line manager (E022). Due to the line managers' lack of experience in this area, she asked if I'd be willing to guide her through the flexible working policy to ensure an efficient process for the employee. I clearly stated the requirements of the policy and advised that I would be available to sit in the formal meeting and take minutes. During the process, I coached the line manager and provided her with support on the procedure and questions that needed to be asked. The line manager was pleased that my support had allowed her to complete the application successfully and efficiently within the set timescale.

HR professionals are responsible for upskilling their line managers and arranging appropriate training. As a small organisation, we have a unitarist approach (Ellis 2016). Employees regularly speak and discuss the approach to their performance management processes. To raise line manager confidence and allow consistency amongst performance management procedures, we arrange for management to attend training courses together. This includes a Management and Leadership course covering developing skills, management in practice, communication and developing themselves to get the best from their employees (E023). This is in line with the association's values and their ability to demonstrate the organisations behaviours (E014).

LO3 - Be able to assess the impact of performance management activities on organisational performance and make recommendations for enhancement.

In relation to performance management policies, all these policies are available on the internal staff portal which is accessible by all staff and can be audited by HR to discover if they have been read. As an organisation, we advise them of the location and updated/new policies being uploaded but we put the onus on them to demonstrate that they have read and understood their content. (E020).

The current system is working well with 91% of supervision and appraisal meetings completed in 2018/19. This was an increase of 1% since the following year. HR keep a spreadsheet of all management meetings completed by each line manager and will send regular reminder emails for all paperwork to be submitted on time to discuss and capture positive comments or any concerns raised (E019). On a quarterly basis, this information is shared during the Management Team meeting and Board subcommittee (E025). It allows management to discuss and network on potential barriers of being able to complete the meetings and share ideas of how to overcome.

During the year, there have no grievance or capability meetings held around performance management. This is a positive for the organisation as it suggests employees are happy in their roles, but they have access to understand how to make a grievance through the staff portal (E020).

Every year, a Staff Business Planning Away day is held with all employees. It is an opportunity to gather their thoughts on the organisations future corporate priorities (026). The corporate plan will be developed on the outcome and comments of this day, which would be cascaded through team meetings, operational plans and included within performance appraisal aims and objectives. Employees have shared that seeing one of their goals as part of a corporate priorities motivates them that they are part of making the organisation a success and delivering its objectives (027).

The Association have invested in management and leadership training for all line managers to be fair, consistent and work towards the values and behaviours of the organisation when managing performance (E023). This allows them to continue to promote two way communication by allowing employees the opportunity to share their concerns and build relationships with their line managers.

It is inputted from the beginning Induction Process, that coaching new line managers is key to allow them to have the awareness of what is required from them and their behaviours. From the offset, the interview questions include a question around how the candidate would compare themselves to the organisations values (E028).

One line manager shared that they regularly have meetings with their line manager. They feel comfortable in sharing my views and concerns with them, outside of the formal meetings. They believed it was important to have the appraisal meetings as it gives you a sense of place within the company and keep you wanting to give more back. If you give more, they want to help you by progressing your personal development. Although, they shared that there is a long time between appraisals each year, difficult to remember what your goals were when you carry on with your day to day work (E029).

When taking into consideration being motivated and fully equipped to do their role, one employee shared that they aren't always told when a process has changed. Here, the organisation need to consider when they do something, who needs to be told as this could affect their performance and lead to demotivation (E029).

Recommendations

From the above review, I have identified the following recommendations to be considered and implemented to better the organisations performance management process;

1. **To promote feedback from the organisation and include employee voice into the system.** This can be completed by suggesting that a staff survey be completed every 2 years with around the 12 Gallup questionnaire. If working successfully, in future, the organisation could consider going into more detailed survey around different areas every quarter. One quarter, it could be around the performance process for both parties. (Reilly 2016).

2. **To include line managers in the review and development of policies**
   Here, HR can explain why there is a need for change to the policy with line managers providing feedback into the challenge that this may have on their employees. Line managers will understand the whole policy in more detail and the more challenges that they are faced with, the easier they'll be able to understand. The organisation will positively see line managers cascading this through their operations with employees and be considered as Business Partners (O'Halloran and Haden 2018).

3. **To ensure that all new line managers receive the management and leadership training**
   The Association to ensure that they arrange for new line managers to attend an external or in-house training course covering the aspects from the current Management and leadership training that has been delivered to line managers. This is to be initiated within 6 months of their start date to ensure that they are not at a disadvantage and are clear of their role requirements.

4. **To consider an interim review of appraisal goals.**
   From the review of information provided, an employee had noted that they have difficulty remembering their set appraisal goals throughout the year. It will be suggested as part of the performance appraisal and supervision policy to include a section to review goals after 6 months. This will allow both parties to discuss if the current goals continue to be applicable and the measures that need to be put in place to ensure that they can be completed within the set timescale.

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CIPD Candidate evidence matrix (EXAMPLE) (CEM1)

Candidate name: Lowri Ann Davies	CIPD Membership/registration No.: 49370121
Qualification title: Developing Professional Practice in Human Resources	Unique Learner No. (ULN): 1104209

Unit code	Unit title	Evidence description	Evidence reference number	Assessor initials	I/V initials if sampled
5AIOP	Contributing to Improving Organisational Performance	Recruitment and Selection Policy Procedure	E001	LD	
5AIOP	Contributing to Improving Organisational Performance	Induction Policy	E002	LD	
5AIOP	Contributing to Improving Organisational Performance	Hostels induction form	E003	LD	
5AIOP	Contributing to Improving Organisational Performance	Probationary Policy	E004	LD	
5AIOP	Contributing to Improving Organisational Performance	Probationary Form	E005	LD	
5AIOP	Contributing to Improving Organisational Performance	Employee Personal Development email	E006	LD	
5AIOP	Contributing to Improving Organisational Performance	Supervision Policy	E007	LD	
5AIOP	Contributing to Improving Organisational Performance	Acas code of practice	E008	LD	
5AIOP	Contributing to Improving Organisational Performance	Witness testimony of a supervision meeting	E009	LD	
5AIOP	Contributing to Improving Organisational Performance	Performance Appraisal policy	E010	LD	
5AIOP	Contributing to Improving Organisational Performance	Annual Performance review form	E011	LD	
5AIOP	Contributing to Improving Organisational Performance	Performance Appraisal – Update email to managers	E012	LD	
5AIOP	Contributing to Improving Organisational Performance	Regulatory Judgement Report - English	E013	LD	
5AIOP	Contributing to Improving Organisational Performance	Organisation Values	E014	LD	
5AIOP	Contributing to Improving Organisational Performance	Employee Probation Queries - email	E015	LD	

5AIOP	Contributing to Improving Organisational Performance	Management Minutes and Action Plan	E016	LD	
5AIOP	Contributing to Improving Organisational Performance	Screenshot of Cascade GO	E017	LD	
5AIOP	Contributing to Improving Organisational Performance	Performance Meetings reminder email to line managers	E019	LD	
5AIOP	Contributing to Improving Organisational Performance	Staff Portal Policies and Procedures	E020	LD	
5AIOP	Contributing to Improving Organisational Performance	Witness Testimony of Flexible Working Application	E021	LD	
5AIOP	Contributing to Improving Organisational Performance	Flexibe Working Policy	E022	LD	
5AIOP	Contributing to Improving Organisational Performance	Management and Leadership training agenda	E023	LD	
5AIOP	Contributing to Improving Organisational Performance	Absence Policy	E024	LD	
5AIOP	Contributing to Improving Organisational Performance	Quarterly Strategic report to board	E025	LD	
5AIOP	Contributing to Improving Organisational Performance	2019 Corporate Plan	E026	LD	
5AIOP	Contributing to Improving Organisational Performance	Corporate Plan feedback	E027	LD	
5AIOP	Contributing to Improving Organisational Performance	Interview questions	E028	LD	
5AIOP	Contributing to Improving Organisational Performance	Feedback from employees on performance management	E029	LD	

Candidate declaration:

- I confirm that the work/evidence presented for assessment is my own unaided work.
- I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action.
- I agree to this work being subjected to scrutiny by textual analysis software if required.
- I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998.
- I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records.
- I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.

Signature:	**L Davies**	**Date:**	**01/08/2019**

Notes on candidate evidence matrices

Candidates should be encouraged to develop a matrix indicating how their evidence relates to each unit/module and learning outcomes/assessment criteria. This helps advisors and assessors to support candidates to draw links between units and encourage cross-referencing and the possible multi-use of evidence.

Evidence matrices can be developed using the unit/module and learning outcomes/assessment criteria, giving candidates an opportunity to link their evidence to each outcome.

Another approach is to have a more generic form where candidates list evidence and tick relevant boxes to show coverage.

Whatever approach is employed candidates should be encouraged to complete these forms themselves and not expect assessors to do this for them.

BRO MYRDDDIN HOUSING ASSOCIATION

RECRUITMENT AND SELECTION

1. INTRODUCTION

The recruitment and selection decision is of prime importance as the vehicle for obtaining the best possible person-to-job fit which will, when aggregated, contribute significantly towards the Association's effectiveness.

It is also becoming increasingly important, as the Association evolves and changes, that new recruits show a willingness to learn, adaptability and ability to work as part of a team.

The Recruitment & Selection procedure should help managers to ensure that these criteria are addressed.

2. PURPOSE OF POLICY

The Association's Recruitment and Selection Policy will:

- be fair and consistent;
- be non-discriminatory on the grounds of family status, sexual orientation, disability, religion or philosophical belief, age, HIV/AIDS status or class, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, or any personal characteristic of the individual;
- conform to statutory regulations and agreed best practice.

All recruitment advertisements, job descriptions and specifications will make it clear that (1) applicants may inform the Association if they have a disability and (2) steps will be taken to ensure that they are not disadvantaged in the recruitment process by making reasonable adjustments to the process or to the job, where possible, to accommodate the needs of the disabled person.

The process will be carried out with the Equal Opportunities Policy in mind and the Association encourages applications from disabled persons.

The Chief Executive will maintain close liaison with senior managers responsible for the interview process and consideration will be given to help that may be required in the interview process. Those involved will be informed (for example reception will be informed on a confidential basis about any assistance that may be given).

Consideration will be given to trial periods where possible in order to ascertain whether the disabled person can carry out the role.

Consideration will be given to adapting premises or equipment or changing working practices where appropriate and possible and these may be considered during the interview process.

The Association will liaise with external bodies where appropriate with a view to obtaining guidance, advice and assistance.

3. TRAINING

To ensure that these policy aims are achieved, all appointing managers will receive training in effective recruitment and selection.

4. PROCEDURE

a. THE RECRUITMENT PROCESS

The following procedure should be used when a post is to be filled.

The appointing manager/Head of must:

- Define the job.
    - Existing Post – establish if exact requirement is required or an opportunity to revise the requirements
    - New post - be clear on requirements, devise a job description and consult with the Chief Executive, Director of Corporate Resources for funding and HR Department for salary grade.
- Ensure the following are up-to-date and collate as a recruitment pack:
    - job advertisement
    - application form
    - monitoring form
    - job description
    - person specification (stating both essential and desirable criteria for the job and being mindful of indirectly discriminating against applicants)
    - terms and conditions of employment
- Discuss with the Director of Corporate Resources the most effective means of obtaining suitable candidates. Is there any reason why, in line with equality of opportunity, the post should not be advertised both internally *and* externally (e.g. requirement to redeploy current employees/restructure/training opportunity etc)
- Advertise the post using one or more of the following options (as necessary to the post);
    - Internal Advert
    - Recruitment websites
    - Government webpage
    - Association's Social media pages i.e. Facebook, twitter, linked in
    - Association's website
    - Partner organisations i.e. CHC, Chwarae teg
    - Recruitment Agencies
- External adverts are to be submitted to the appropriate line manager for reviewing and approval.

No vacancy can be processed without correct authorisation.

b. THE SELECTION PROCESS

Appropriate selection procedures must be used for each post. Procedures may vary, at its simplest this may involve a straight forward interview and skills testing. For more senior posts psychometric testing, presentations to the interview panel on a chosen topic and/or a series of individual interviews on various topics may be included.

Shortlisting

- The appointing manager will approach relevant people to assist with shortlisting and interviewing.
- At least two people should be involved in shortlisting and sit on the Interview Panel.
- The application forms received by the closing date and shortlisting grid will be prepared and forwarded to the appointing managers for shortlisting.
- Applicants must be chosen against the Person Specification. It is the responsibility of the appointing manager at this stage to note reasons for not shortlisting an applicant on the shortlisting grid.
- All papers must be returned to the HR Department, who will invite the candidates for interview and make the necessary housekeeping arrangements. This will include timetabling the interviews.
- Candidates who have not been shortlisted will also be informed by HR Department.

- Shortlisting panel to review the questions within the interview report form and submit to HR once finalised.

Interview

- Prior to the interview, each panellist will receive an interview pack containing:
  - copies of application forms / CVs
  - blank interview report forms;
  - a copy of the job advertisement;
  - a copy of the job description;
  - a copy of the person specification.

- The HR Department to review if the applicants have the right to work in the UK by following GOV UK 'An Employer's Guide to Acceptable Right to Work Documents' https://www.gov.uk/government/publications/acceptable-right-to-work-documents-an-employers-guide

- At the interview, the appointing manager will ensure that the Interview Report Form ***(appendix A)*** is completed as fully as possible on each applicant who is interviewed. When interviewing, they will ensure that Equal Opportunities legislation is strictly adhered to, with no discrimination shown on the grounds of family status, sexual orientation, disability, religion or philosophical belief, age, HIV/AIDS status or class, gender reassignment marriage and civil partnership, pregnancy and maternity, race, or any personal characteristic of the individual.

- Those involved in recruitment should ensure that they also promote a positive image of the organisation and convey this to the interviewees.

- When all candidates have been interviewed, the panel will decide on the best person for the post. The appointing manager will inform the Director of Corporate Resources, Chief Executive and HR Department of the panel's decision and arrange to inform the successful candidate as soon as possible.

- All interview packs to be returned to the HR Department and kept in locked cupboard. Excluding the successful candidate, interview report forms and any other documents collated at the interview will be kept for a minimum of 6 months from the date of interview.

- Upon return of the Interview Report Forms, HR department will respond via written notification (email and/or post) to all unsuccessful candidates within 1 working day. Request for feedback will be passed to the interview panel to respond within 5 working days. This responsibility lies with the appointing manager but can be delegated to another member of the interview panel.

Appointment of Successful candidate

- Appointing manager to contact the successful interviewee to make a verbal offer, shortly after the interview process. They would discuss a commencement date and starting salary (manager to notify all relevant persons if the appointee refuses the offer and consider if there is an alternative candidate suitable for position);

- Once verbal offer has been accepted, HR will be informed by appointing manager and being preparing a written offer of employment to the appointee, subject to satisfactory references, medical screening, DBS *if required* (although always be mindful of Disability Discrimination);

- HR will Initiate a personnel file, necessary payroll authorisation and computer entry for the new member of staff;

- The appointing 'Manager' will arrange, in conjunction with the HR department an individual programme of induction for the new employee which will be arranged and agreed at least one week before the appointee commences;

- The /Manager should ensure they, or a senior member of their team is present on the new employees first day.

Version	**4**
Date of Policy	**January 2019**
Date approved by Executive Management Team	**February 2019**
Next review date	**January 2022**
Responsible person	**Director of Corporate Resources**

Appendix A

BRO MYRDDIN HOUSING ASSOCIATION INTERVIEW REPORT FORM

POST:

DATE OF INTERVIEWS:

PANEL MEMBERS :

APPLICANT'S FULL NAME:

SCORING:

1. DOES NOT REACH STANDARD REQUIRED
2. REQUIRES FURTHER TRAINING
3. MEETS REQUIREMENT OF ROLE
4. EXCEEDS REQUIREMENT OF ROLE

No	Questions These should be clearly LINKED TO competency requirements/person specification	Score (1-4)	Comments/evidence
1			
2			
3			

4			
5			
6			
7			
8			
9			
	TOTAL		
	OTHER COMMENTS **e.g. questions from applicant**		
	DBS Check (if applicable)		
	REFERENCES (clarification if necessary)		
	NOTICE PERIOD		

BRO MYRDDIN HOUSING ASSOCIATION

INDUCTION POLICY

1. INTRODUCTION

The purpose of Induction is to ensure the effective integration of employees into the Association for the benefit of both parties. Research has shown that tailor-made induction programmes increase employee retention and can go some considerable way towards alleviating the anxiety and stress of starting a new job.

The Association strongly upholds the view that all employees **must** receive timely induction. This training is part of the recruitment process (see separate Recruitment policy).

Each role and each employee is different therefore an Induction is personalised to that person and may vary in length. This will be explained and agreed with the new employee on commencement.

All new employees will be required to **complete** their Induction programme fully and both they and their manager will be required to sign a copy of the programme to ensure that this has been achieved.

No probationary period can be successfully completed and an employee confirmed in post unless and until the Induction programme has been completed

2. WHO SHOULD RECEIVE INDUCTION?

All staff, both full and part time need an induction programme. In addition some groups of employees have specific needs - graduate trainees, people returning from career breaks, long-term absence or maternity/paternity leave, senior appointments, technical specialists. Tailor-made programmes will also be necessary for groups such as job-sharers, temporary staff, agency workers, promoted staff and those who transfer to other jobs.

3. WHO IS RESPONSIBLE FOR INDUCTION?

Responsibility is shared between a number of people within the Association.

The Line manager:
S/he is responsible for amongst other things:

- Producing the individual's induction programme and monitoring its successful completion (basic sample induction template appendix 1)
- Ensuring other employees are aware of new employees arrival and their role
- Introducing the new employee to others and the Association offices
- Ensuring the new employee understands the work of the Association and its culture and values

- Ensuring the new employee understands their role within the department and the Organisation
- Ensuring the new employee understands the Association's commitment to Equality & Diversity and the Welsh Language
- Communication
- Quality and regulation
- Training needs/ Continual Professional Development and Personal Development Plan
- Supervision/Appraisals and Support the new employee will receive
- Data Protection and confidentiality
- Introducing the new employee to the Chief Executive

Work colleagues:
Further information on role
Systems in use in department
Where to eat and drink!!

HR Services
Responsible for ensuring that the new employee understands their conditions of service e.g.

- Ensuring employee can access **all employee related policies** and that they read and understand them (in particular Code of Conduct, Disciplinary and Grievance policies)
- Declarations of Interest
- Gifts, gratuities and hospitality
- Hours of work/break arrangements
- Probationary Periods
- Performance management (Appraisals/Supervision/Capability)
- Pension scheme
- Procedure should they be absent from work
- Requesting holiday or other leave
- Issuing of equipment (as required) e.g.Personal Protection Equipment/mobile telephone
- Health & Safety including accident reporting/first aid arrangements/evacuation procedures/lone working
- Welfare
- Security etc
- Checking car insurance (if required to use vehicle for work etc)

Finance Staff:
Ensuring relevant salary related forms are completed/bank details obtained
Explaining payment process
Expenses

IT Manager:
Ensuring IT equipment is set up for individual
Passwords
Familiarisation with hardware and software etc
Telephone system
Policy on the use of Email /Internet etc

And last and by no means least…It is the ***new employee*** themselves who has a responsibility to ask questions if they do not understand anything or require further clarification

This is not an exhaustive list and the line manager should ensure that the new employee is not given too much information too soon. The new employee must not be overwhelmed by a mass of information on the first day.

Version	**2**
Date of Policy	**September 2015**
Date approved by P&R Committee	**November 2015**
Next review date	**September 2018**
Responsible person	**Head of Corporate Resources**

Induction for Permanent Scheme Based Employee
Job Title: Mental Health Support Worker

Day 1: 20 May 2019

Arrive at BMHA Office to meet with Head Office (09:00)

HR Update with Lowri Davies

- Requesting holiday & other leave
- Organisation – general overview
- Expenses & Subsistence claims
- Take photo to receive ID badge
- Equality and Diversity
- Forms (Declaration of Interest, Equality and Diversity, Section 48)
- Vehicle Insurance
- Data Protection (GDPR)
- Log in details
- Risk Register
- Contract of Employment
- Payroll (Payslip/Pension/Absences/Personnel Information form)
- HMRC (P45 / Starter Checklist)

Meet senior colleagues and other employees connected to the role:
Meet with HR
Meet with Finance
Meet with Maintenance team
Meet members of the wider BMHA service based at the Office.

Pension meeting with Finance Manager Head Office (10:00)

ICT meeting with, ICT & Procurement Manager Head Office (10:30)

GDPR (General Data Protection Regulation) Training Head Office (11:00)

Manual Handling Head Office (12:00)

Arrive to meet with Project Manager FFW (14:00)

- Meet residents and scheme team on duty (this to include all team members over coming period)
- Tour of scheme
- Basic Health & Safety procedures
- Fire exits/assembly point/first aiders

Day 2: 11 December 2018

Meet with Corporate Assistant to complete remainder of training. Head Office (09:00)

Food Hygiene Head Office (09:00)

Safeguarding Head Office (10:00)

Arrive at Maes yr Ysgol FFW (11:00)

- Organisation and scheme - general overview
- Medication – procedure of dispensing, re-ordering and 'booking in'
- Petty Cash and ordering of monies
- Council returns
- Scheme based systems: Logging in Book, Communication Book, Diary, Daily Record Sheets, Rotas, Annual Leave charts, Support Planning and Risk Management (residents), Risk Management (scheme based procedures – Ellis Whittam) etc.

- Discuss Policies and Procedures Afternoon
- Staff section of Intranet
- Process of familiarization, ie, in relation to above, to continue over coming days/weeks
- Discuss job role in relation to understanding processes and work flow

Day 3/4/5:

- Boots Medication FFW
- Work alongside colleagues
- Further investigate and understand Work Processes
- Visit **Maes yr Ysgol / Ffynnon Waun** – introduce to residents and staff team
- Tour of scheme
- Basic Health & Safety procedures
- Fire exits/assembly point/first aiders
- Further discuss job role in relation to understanding processes and work flow
- Discuss residents at Maes yr Ysgol / Ffynnon Waun in brief detail.
- Discuss training needs.
- Discuss staff team and supervision/appraisals and team meetings.
- Discuss funding issues from stake holders.
- Identify risks

Training

Manual handling: Date of completion …….

GDPR: Date of completion …….

Food Hygiene: Date of completion ……..

Safeguarding: Date of completion ……..

Boots Meds: Date of completion ……..

Identifying training needs – this process will continue throughout probationary period and beyond.

- Ensure that over next coming weeks, meet CPNs, Care-coordinators etc. i.e. Rose Beardmore. Establish contact with all interested parties, i.e. family members.
- Hold Team Meeting, more formally introduce post holder to the team.
- Successfully complete the Social Care Induction Framework.
- Discuss with new employee 'how the day has gone' at the end of each day in first week, to ensure all is well and address any issues

This process will continue throughout probationary period and beyond, as Induction form/procedure is complete.

I confirm I have participated in the above Induction and I have been informed, understand and accept all the employees' related policies

Signed…… Date……..

I confirm this Induction has been satisfactorily completed for the above employee

Signed…… Date……..

Return to HR Manager on completion.

BRO MYRDDIN HOUSING ASSOCIATION

PROBATIONARY PERIOD POLICY AND PROCEDURES

1. INTRODUCTION

All new employees should undergo a formal probationary period and the Association recognises that probationary periods are an essential part of the performance management process.

The purpose of a probationary period is to provide a framework for identifying and sorting out any early difficulties which may occur in the performance of the job and to provide for early termination of employment if such difficulties are not resolvable during this period.

2. PROBATIONARY PERIOD

Probation is normally for a six months period, unless specified otherwise in a Statement of Terms and Conditions of Employment or in an offer letter (temporary employees may be subject to a shorter probationary period).

During the probationary period the line manager is responsible for ensuring that the following process and steps take place:

- the new employee receives a full **induction**;
- any appropriate **training** takes place at the earliest opportunity;
- management **expectations and performance targets** are made explicit are understood by the new employee;
- ***Supervision Meetings***
  regular supervision meetings take place on a monthly basis (and more frequently if necessary);
  during supervision meetings constructive feedback is given to the employee highlighting both achievements and areas of weakness using suitable examples;
  the employee is encouraged to identify areas of difficulty and ways of resolving these are clearly defined and agreed;
  appropriate solutions to problems or difficulties are discussed and the line manager provides guidance, direction or instruction as appropriate;
  an honest assessment about the support that the line manager or others in the organisation can provide is stated to avoid building up unrealistic expectations;
  notes of such meetings are drawn up and copies given to the employee;
- a **first** probationary **review** takes place at three months;
- a **final** probationary **review** takes place shortly before the end of the six months period;
- in exceptional circumstances, the probationary period is **extended** (for example, because of the employee's sickness or other absence).

3. PROBATIONARY REVIEWS

The three months review

The three months review should take place at the end of the first three months probation period. It is a meeting between the line manager and the employee to cover work performance to date; review progress and expectations; and set clear targets for the next three months. The employee should be encouraged to contribute views and ideas.

The line manager will make a record of the meeting on the appropriate form (appendix A) including any action agreed to resolve concerns and will provide a copy to the employee.

The six months review

The six months review must take place before the end of the six months probation period. It is a meeting between the line manager and the employee. The employee may have a work colleague attending at this meeting.

The meeting will cover work performance over the full six months period; will take account of the three months review and any progress or problems following the last review. The manager will make a record of this meeting on the appropriate form (Appendix A) and provide a copy to the employee within five working days, together with written confirmation of the outcome of the probationary review - whether the employment is confirmed or not.

If the decision is not to confirm employment, the employee will be entitled to one week's notice. The Association will provide a reference having regard to the facts and circumstances under which the employment was terminated.

The employee has the right to appeal against the decision not to confirm employment. This appeal should be made in writing to the Chief Executive within 5 calendar days of the decision being communicated.

Those employees reporting directly to the Chief Executive should appeal to the Chair of the Board.

The Chief Executive/Chair will consider the appeal and may request the employee to attend a further meeting. A decision will normally be made within 10 working days of receipt of the appeal (in the case of a delay the employee will be informed of estimated timescale).

Only in very exceptional circumstances will the probationary period be extended for a further period of up to three months.

For example, this may happen where the employee's approved absence during the preceding months has prevented her/him from achieving the standard of work performance required.

4. EXISTING EMPLOYEES IN NEW ROLES

It is open to the Association to place an existing employee on probation where he or she has been promoted or transferred into a new role.

This may be appropriate where the new job involves duties and responsibilities that are completely different from those of the employee's old job, for example where an Admin Assistant is promoted to the position of Manager.

The employee's continuity of service in these circumstances will be unaffected by the promotion or transfer or by the probationary period. Continuous service will be counted from the first day of employment, and not the first day of the new job. Therefore the employee has employment protection and their employment can't simply be 'terminated' at the end of the probationary review period

If the employee does not succeed in reaching the required standards for the new position, and if there is no suitable alternative position into which he or she can be transferred, then, following the invoking of the capability policy and procedure the line manager may have no option but to terminate the employee's employment.

An employee in these circumstances will have no automatic right to be moved back into his or her previous job role, unless this was expressly agreed as part of the terms of the transfer or promotion.

It is important that any employee transferring to a new role/promoted within the Association is aware of the above when accepting a new role.

5. OTHER MATTERS

During the probationary period the period of notice will be one week on either side (applies only to **new** employees not those changing roles, in this case their period of notice will be as stated in their Statement of Terms and Conditions of Employment or one week for every full year's service up to maximum of 12 weeks - whichever is the greater)

In the case of the Chief Executive's probation, reviews will be carried out by the Chair who may choose to include other Non Executive Directors in the review meetings.

If across the board salary increases are paid following an annual salary review, any increase will be paid during the probationary period. Any salary increments (if applicable) will only be considered after successful completion of the probationary period.

Annual leave is accrued from the first day of employment. During the probationary period employees are expected to take leave equivalent only to the amount of leave they accrued. Public holidays are provided as they occur (pro rata for part time employees).

The Association's full disciplinary procedure will **not** apply during the probationary period. However, in cases of dismissal or gross misconduct, the minimum statutory requirements as outlined in the ACAS Code of Practice on Disciplinary and Grievance Procedures will be followed including ensuring that the employee will be notified in writing of the problem, the time and venue for the disciplinary meeting, their right to be accompanied and the potential dismissal outcome; a meeting will be held and the employee will be entitled to appeal.

Version	**3**
Date of Policy	**October 2018**
Date approved by P&R	**November 2018**
Next review date	**November 2021**
Responsible person	**Director of Corporate Resources**

APPENDIX 'A'

BRO MYRDDIN HOUSING ASSOCIATION

PROBATIONARY PERIOD REVIEW FORM

3 Month/6 Month/Extended Report (delete as appropriate)

NAME: ……… **DEPARTMENT: ……..…**

JOB TITLE: …… LINE MANAGER: ……..…..

START DATE: …… DATE OF MEETING:……..

Guidance Notes:

Please use this form as part of the probationary period process set out in the Probationary Period Policy and Procedure document.

This form is to assist the formal discussion between the employee and their line manager at the 3 month and six month stage of their probationary period.

This form should be used to record a summary of the discussion. Comments should be made against each category and a rating should be determined to reflect the comments made.

Employee and line manager should refer to the employee's job description and person specification whilst discussing performance.

PROBATIONARY REPORT

Name of Employee: ……..

Name of Line Manager completing report:…….

Stage of Report : 3 Months /6 Months /Extended probationary period (delete as appropriate)

Please refer to job description, before completing the following:

RATINGS:

Very Good	Exceeds objectives and job requirements in key areas
Good	Consistently meets and occasionally exceeds objectives and requirements of the role
Satisfactory	Meets most objectives and requirements of the job but needs development in some areas
Improvement required	Improvement needed in key areas of objectives and job and performance
Unsatisfactory	Failed to meet required standards in key areas of objectives and job performance

AREAS OF ASSESSMENT	**COMMENTS**	**RATING**
TECHNICAL COMPETENCE experience and knowledge required to carry out job		
SKILLS & ABILITY ability to work to deadlines, ability to work without close supervision, prioritise, quality of work, pace of work, exercise of initiative, output, accuracy		
COMMUNICATION SKILLS To include relationships with other employees, clients, external contacts		

MANAGERIAL SKILLS [this section is for managers only] To include setting and implementing team objectives, managing staff and other resources, managing diversity		
ATTITUDE/MANNER/MOTIVATION		
TRAINING Please record any training that employee has carried out during probationary period and comment on whether any further training needs have been identified.		
CONDUCT		
TIMEKEEPING / ATTENDANCE RECORDS / SICKNESS No. of days sick during probation. Result of return to work interviews, any comments.		

2. TRAINING NEEDS IDENTIFIED

Please refer to Job Description and/or Induction programme for assistance

AREA FOR DEVELOPMENT	**ACTION** **(e.g. training course, objective setting, re-training)**	**TIMESCALE**

Please outline below any additional Line Manager support required by employee to help achieve the above action plan:

Support:

3. CONCLUSION OF PROCESS – TO BE COMPLETED BY LINE MANAGER

Stage of Report : 3 months / 6 months / Extended probationary period (delete as appropriate)

Please indicate as applicable:

I confirm that progress is satisfactory / not satisfactory.

If progress is unsatisfactory please refer to the Probationary Review Policy.

4. CONFIRMATORY SIGNATURES:

I have discussed my work performance with my Line Manager and have read and noted the contents of this report.

Employee Name: ……..

Signature …….. Date: ……

Line Manager's Name: ……

Signature …….. Date: ……

Please return the completed form to the HR Department within the appropriate timescales. Where the full probationary period has been successfully completed the HR Department will then write to the employee to confirm their appointment as a permanent employee.

Lowri Davies

From: [redacted]
Sent: [redacted]
To: [redacted]
Subject: LS: Personal Development

Hi [redacted],

A quick email to advise that [redacted] has verbally shared an interest in attending a Level 4 Qualification in Housing Practice. As she has only been in post for 3 months, I suggested that this be discussed at her 6 month probationary review. I will receive information from Gower College on the content of the course and you'd both be able to discuss this at the meeting to agree if it's appropriate towards the requirements of the role and part of her personal development with organisation.

I understand that there were concerns from the last supervision meeting and probationary review with the employee's performance. It would be worthwhile discovering if this course would be targeting their lack of knowledge and skills in the particular housing side of the rule which is a result of their performance levels, but we can determine this from the course content.

If this is unsuitable, we can meet following the probationary review to discuss other potential avenues i.e. alternative courses, coaching.

If you have any queries, please do not hesitate to ask.

Many thanks,
Lowri

BRO MYRDDIN HOUSING ASSOCIATION

SUPERVISION POLICY AND PROCEDURE

1. WHAT IS SUPERVISION?

Supervision is a support provided to all Association employees. It provides assistance on a one to one basis to support work planning, performance management and personal development.

It is provided on a one to one basis and is used to identify achievements, develop any necessary work plans and deal with any instances of under performing.

Supervision links to the disciplinary and capability policy in that it is the starting point for dealing with concerns outside of any formal procedures. The process also reflects competent, accountable practice, continuing professional development and personal support and guidance.

Employee skills, motivation and relationships with service users and customers are key elements in determining quality of service. These key elements can be enhanced by supervision.

Every employee has the right to regular, planned supervision.

To be effective, supervision should be:

- Viewed as an opportunity for shared reflection on work.
- Seen as part of a culture that promotes reflective practice/evidence based practice, self-directed learning and learning from experience.
- An integral part of the working routine.
- Approached in a positive, constructive, honest, open and forward-looking manner.

It should be noted that a separate Policy exists for Senior Officers. Please refer to Performance Management of Senior Officers Policy and Procedure.

2. PURPOSE AND SCOPE OF THE POLICY

The purpose of the policy is to promote a consistent approach to employee supervision throughout the organisation, to ensure that individual management supervision of employees is geared to achieving its objectives. Supervision is also the primary forum by which the personal impact on employees of their work is addressed.

This policy applies to all employees of the Association, those providing services direct to members of the public and those providing 'support' services; those on 'temporary' and those on 'permanent' contracts and the policy has been reviewed in line with the Association's commitment to equality of opportunity.

Where an employee feels they are not being provided with supervision as described within this policy they have recourse to the grievance procedure.

Managers failing to implement this policy could be subject to the disciplinary or capability process.

3. ROLE AND RESPONSIBILITIES

Line Managers' role includes:

- Ensuring that any managers they supervise also carry out this policy.
- Being fair and supportive.

- Being sensitive to the supervisee's needs.
- Creating a climate conducive to the sharing of good practice.
- Monitoring the employee's progress on meeting objectives (as set in the Business Plan, Operational Plan and previous Supervision meetings).
- Addressing any under performance (this should be seen as the informal part of the capability or disciplinary policy).
- Offering constructive feedback.
- Listening carefully and responding appropriately.
- Recognising achievements.
- Giving guidance on policy and practice matters.
- Dealing with anxieties and dissatisfactions affecting work performance
- Making themselves available for discussion outside of supervision sessions.

Line Managers are responsible for ensuring that:

- All employees receive regular and quality supervision.
- The supervision process is linked to the probationary review, induction, performance appraisal, and interim review systems operating within the association.
- The Association's values are promoted and adhered to.
- Training and development opportunities for employees are identified, facilitated and evaluated.
- A record of all supervision sessions is maintained and made available for inspection and audit by Senior Managers. (See an example template at Appendix 1).

Employees' role includes:

- Reporting on progress on meeting objectives (as set in the Business Plan, Operational Plan and previous Supervision meetings).
- Identifying aspects of good practice and obstacles in achieving targets.
- Assessing their own performance.
- Commitment to personal development and skill acquisition.
- Identifying training and development needs.
- Being open to challenge, accepting direction and advice, actively contribute to work planning.
- Bringing relevant information on policy and practice, where appropriate to supervision.
- Alerting supervisor to particular matters of concern.

Employees are responsible for:

- Preparing for and taking part in supervision under the arrangements agreed.
- Reflecting and learning from their work experience, training and development opportunities.
- Providing evidence of the work done, including the quality of work in relation to standards expected.
- Taking any action agreed in supervision, to improve performance and enhance their effectiveness.
- Adhering to the Association's values.

4. STRUCTURES AND METHODS OF SUPERVISION

Supervision should:

- Normally be undertaken on a one-to- one basis.
- Be structured.
- May include 'live' supervision / observation of work, examination of records, taped material, or simulation.
- Include reflection on incidents and problem solving.

5. CLIENT BASED SUPERVISION

Employees who are working with clients will need a type of supervision that focuses on the management and evaluation of these cases. This is generally in addition to the supervision that they receive for their day to day work. Client based supervision includes all the components of mainstream supervision and takes into account the additional aspects noted below:

- Client based supervision can be undertaken in a variety of setting including one to one or team setting.
- In every case the supervisor's responsibility is to promote a safe atmosphere to promote the sharing of experiences.
- Client based supervision can enable a team to share good practice and allow for joint problem solving.

6. PROCEDURES

Frequency
Supervision should take place once every 8 weeks. One Supervision meeting will be replaced by the annual Performance Appraisal. Each manager and employee will agree the planned frequency of supervision and book advance dates in their diary. Additional unplanned supervision will also be available to all employees if required.

Venue
The manager should ensure that the venue for supervision will provide confidentiality, comfort and be without distractions. All phones should be turned off or diverted at the start of each session.

Arrangements
Supervision sessions should be planned in advance and be accorded the highest priority. If it is necessary to cancel a session a new date should be agreed upon immediately.

Signing Off
The manager will ensure that the supervision paperwork is completed, signed-off and returned to the Corporate Administrative Assistant and/or HR Manager within 2 weeks.

Keeping Records (see 8 below)
The manager should record the supervision session on the appropriate form. All records should be signed by supervisee and manager as agreed and stored in a secure location.

Where agreement is not reached each party should identify the area of disagreement and this record should be kept with the supervision files.

Supervision notes are usually kept between supervisee and manager however employees must be aware that there are exceptions e.g.:-

- For any audit requirements.
- During line managers supervision.
- During any formal capability/disciplinary action.
- During external inspections.

7. TOPICS FOR DISCUSSION AT SUPERVISION

The following is an indicative list of some of the topics that may be discussed at supervision

- Role / Performance issues
- Personal Development (eg training undertaken / needed)

- Personal issues (eg workload, support)
- Review of TOIL / Paid Overtime / Annual Leave / Sick Leave
- Identification of Good Practice / Suggestions for improvements
- Risks
- Health, Safety, and Wellbeing
- Equality & Diversity
- Update on Policies and Procedures
- Agreement of clear, realistic, measurable objectives and activities for work and personal development during period to next planned supervision.
- Supervision Reflection Form (Support Workers only (Appendix 2))
- Any other topics either party wishes to discuss.

8. RECORDS

Records of supervision sessions must be kept in a secure location with a copy given to the supervisee. They should be clear and legible (preferably typed).

Supervision records are the property of the employer and should be available for management examination when requested (see 6 above).

Where an employee obtains a different job within the organisation supervision records will be transferred to the new supervisor. This should be explained to the employee prior to the record being transferred.

Records should be kept for 6 months after an employee has left the organisation and then destroyed.

9. REVIEW

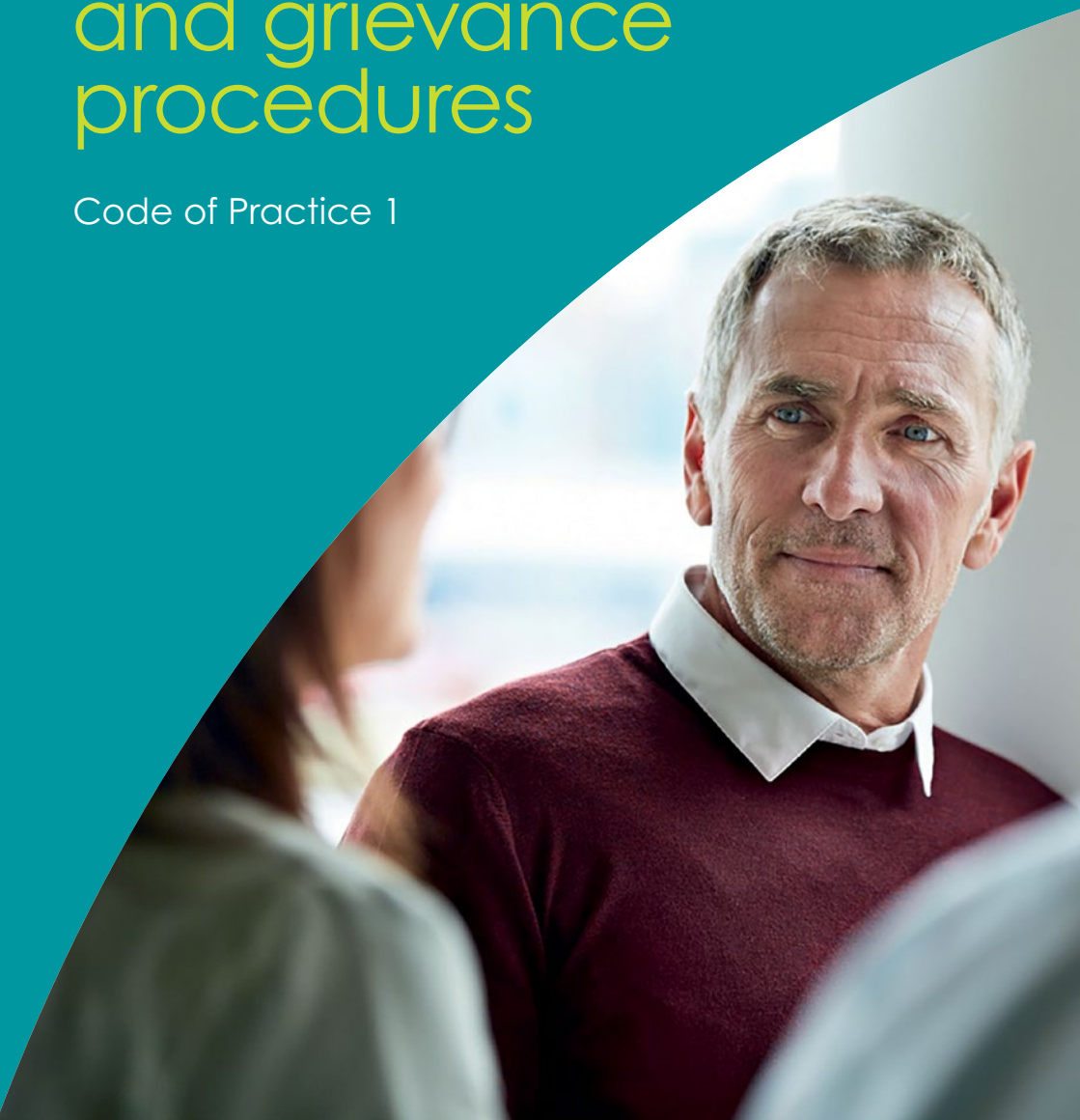
This policy and procedure will be reviewed every three years and the review will incorporate obtaining feedback from employees across the organisation.

Version	**4**
Date of Policy	**November 2017**
Date approved by P&R Committee	**November 2017**
Next review date	**November 2020**
Responsible person	**Director of Corporate Resources**

acas working for everyone

Code of practice on disciplinary and grievance procedures

Code of Practice 1



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Foreword

The Acas statutory Code of Practice on discipline and grievance is set out at paragraphs 1 to 47 on the following pages. It provides basic practical guidance to employers, employees and their representatives and sets out principles for handling disciplinary and grievance situations in the workplace. The Code does not apply to dismissals due to redundancy or the non-renewal of fixed-term contracts on their expiry. Guidance on handling redundancies is contained in Acas' guide 'Handling small-scale redundancies – a step-by-step guide' and in its advisory booklet 'How to manage large-scale redundancies'.

The Code is issued under section 199 of the Trade Union and Labour Relations (Consolidation) Act 1992 and was laid before both Houses of Parliament on 16 January 2015. It comes into effect by order of the Secretary of State on 11 March 2015 and replaces the Code issued in 2009.

A failure to follow the Code does not, in itself, make a person or organisation liable to proceedings. However, employment tribunals will take the Code into account when considering relevant cases. Tribunals will also be able to adjust any awards made in relevant cases by up to 25 per cent for unreasonable failure to comply with any provision of the Code. This means that if the tribunal feels that an employer has unreasonably failed to follow the guidance set out in the Code they can increase any award they have made by up to 25 per cent. Conversely, if they feel an employee has unreasonably failed to follow the guidance set out in the Code they can reduce any award they have made by up to 25 per cent.

Employers and employees should always seek to resolve disciplinary and grievance issues in the workplace. Where this is not possible employers and employees should consider using an independent third party to help resolve

the problem. The third party need not come from outside the organisation but could be an internal mediator, so long as they are not involved in the disciplinary or grievance issue. In some cases, an external mediator might be appropriate.

Many potential disciplinary or grievance issues can be resolved informally. A quiet word is often all that is required to resolve an issue. However, where an issue cannot be resolved informally then it may be pursued formally. This Code sets out the basic requirements of fairness that will be applicable in most cases; it is intended to provide the standard of reasonable behaviour in most instances.

Employers would be well advised to keep a written record of any disciplinary or grievances cases they deal with.

Organisations may wish to consider dealing with issues involving bullying, harassment or whistleblowing under a separate procedure.

More comprehensive advice and guidance on dealing with disciplinary and grievance situations is contained in the Acas booklet, 'Discipline and grievances at work: the Acas guide'. The booklet also contains sample disciplinary and grievance procedures. Copies of the guidance can be downloaded from the Acas website at www.acas.org.uk/discipline.

Unlike the Code employment tribunals are not required to have regard to the Acas guidance booklet. However, it provides more detailed advice and guidance that employers and employees will often find helpful both in general terms and in individual cases.

The Code of Practice

Introduction

1 This Code is designed to help employers, employees and their representatives deal with disciplinary and grievance situations in the workplace.

- Disciplinary situations include misconduct and/or poor performance. If employers have a separate capability procedure they may prefer to address performance issues under this procedure. If so, however, the basic principles of fairness set out in this Code should still be followed, albeit that they may need to be adapted.
- Grievances are concerns, problems or complaints that employees raise with their employers.

The Code does not apply to redundancy dismissals or the non-renewal of fixed-term contracts on their expiry.

2 Fairness and transparency are promoted by developing and using rules and procedures for handling disciplinary and grievance situations. These should be set down in writing, be specific and clear. Employees and, where appropriate, their representatives should be involved in the development of rules and procedures. It is also important to help employees and managers understand what the rules and procedures are, where they can be found and how they are to be used.

3 Where some form of formal action is needed, what action is reasonable or justified will depend on all the circumstances of the particular case. Employment tribunals will take the size and resources of an employer into account when deciding on relevant cases and it may sometimes not be practicable for all employers to take all of the steps set out in this Code.

4 That said, whenever a disciplinary or grievance process is being followed it is important to deal with issues fairly. There are a number of elements to this:

- Employers and employees should raise and deal with issues **promptly** and should not unreasonably delay meetings, decisions or confirmation of those decisions.
- Employers and employees should act **consistently**.
- Employers should carry out any necessary investigations, to establish the facts of the case.
- Employers should **inform** employees of the basis of the problem and give them an opportunity to **put their case** in response before any decisions are made.
- Employers should allow employees to be **accompanied** at any formal disciplinary or grievance meeting.
- Employers should allow an employee to **appeal** against any formal decision made.

Discipline

Keys to handling disciplinary issues in the workplace

Establish the facts of each case

5 It is important to carry out necessary investigations of potential disciplinary matters without unreasonable delay to establish the facts of the case. In some cases this will require the holding of an investigatory meeting with the employee before proceeding to any disciplinary hearing. In others, the investigatory stage will be the collation of evidence by the employer for use at any disciplinary hearing.

6 In misconduct cases, where practicable, different people should carry out the investigation and disciplinary hearing.

7 If there is an investigatory meeting this should not by itself result in any disciplinary action. Although there is no statutory right for an employee to be accompanied at a formal investigatory meeting, such a right may be allowed under an employer's own procedure.

8 In cases where a period of suspension with pay is considered necessary, this period should be as brief as possible, should be kept under review and it should be made clear that this suspension is not considered a disciplinary action.

Inform the employee of the problem

9 If it is decided that there is a disciplinary case to answer, the employee should be notified of this in writing. This notification should contain sufficient information about the alleged misconduct or poor performance and its possible consequences to enable the employee to prepare to answer the case at a

disciplinary meeting. It would normally be appropriate to provide copies of any written evidence, which may include any witness statements, with the notification.

10 The notification should also give details of the time and venue for the disciplinary meeting and advise the employee of their right to be accompanied at the meeting.

Hold a meeting with the employee to discuss the problem

11 The meeting should be held without unreasonable delay whilst allowing the employee reasonable time to prepare their case.

12 Employers and employees (and their companions) should make every effort to attend the meeting. At the meeting the employer should explain the complaint against the employee and go through the evidence that has been gathered. The employee should be allowed to set out their case and answer any allegations that have been made. The employee should also be given a reasonable opportunity to ask questions, present evidence and call relevant witnesses. They should also be given an opportunity to raise points about any information provided by witnesses. Where an employer or employee intends to call relevant witnesses they should give advance notice that they intend to do this.

Allow the employee to be accompanied at the meeting

13 Workers have a statutory right to be accompanied by a companion where the disciplinary meeting could result in:

- a formal warning being issued; or
- the taking of some other disciplinary action; or

- the confirmation of a warning or some other disciplinary action (appeal hearings)

14 The statutory right is to be accompanied by a fellow worker, a trade union representative, or an official employed by a trade union. A trade union representative who is not an employed official must have been certified by their union as being competent to accompany a worker. Employers must agree to a worker's request to be accompanied by any companion from one of these categories. Workers may also alter their choice of companion if they wish. As a matter of good practice, in making their choice workers should bear in mind the practicalities of the arrangements. For instance, a worker may choose to be accompanied by a companion who is suitable, willing and available on site rather than someone from a geographically remote location.

15 To exercise the statutory right to be accompanied workers must make a reasonable request. What is reasonable will depend on the circumstances of each individual case. A request to be accompanied does not have to be in writing or within a certain timeframe. However, a worker should provide enough time for the employer to deal with the companion's attendance at the meeting. Workers should also consider how they make their request so that it is clearly understood, for instance by letting the employer know in advance the name of the companion where possible and whether they are a fellow worker or trade union official or representative.

16 If a worker's chosen companion will not be available at the time proposed for the hearing by the employer, the employer must postpone the hearing to a time proposed by the worker provided that the alternative time is both reasonable and not more than five working days after the date originally proposed.

17 The companion should be allowed to address the hearing to put and sum up the worker's case, respond on behalf of the worker to any views expressed at the meeting and confer with the worker during the hearing. The companion does not, however, have the right to answer questions on the worker's behalf, address the hearing if the worker does not wish it or prevent the employer from explaining their case.

Decide on appropriate action

18 After the meeting decide whether or not disciplinary or any other action is justified and inform the employee accordingly in writing.

19 Where misconduct is confirmed or the employee is found to be performing unsatisfactorily it is usual to give the employee a written warning. A further act of misconduct or failure to improve performance within a set period would normally result in a final written warning.

20 If an employee's first misconduct or unsatisfactory performance is sufficiently serious, it may be appropriate to move directly to a final written warning. This might occur where the employee's actions have had, or are liable to have, a serious or harmful impact on the organisation.

21 A first or final written warning should set out the nature of the misconduct or poor performance and the change in behaviour or improvement in performance required (with timescale). The employee should be told how long the warning will remain current. The employee should be informed of the consequences of further misconduct, or failure to improve performance, within the set period following a final warning. For instance that it may result in dismissal or some other contractual penalty such as demotion or loss of seniority.

22 A decision to dismiss should only be taken by a manager who has the authority to do so. The employee should be informed as soon as possible of the reasons for the dismissal, the date on which the employment contract will end, the appropriate period of notice and their right of appeal.

23 Some acts, termed gross misconduct, are so serious in themselves or have such serious consequences that they may call for dismissal without notice for a first offence. But a fair disciplinary process should always be followed, before dismissing for gross misconduct.

24 Disciplinary rules should give examples of acts which the employer regards as acts of gross misconduct. These may vary according to the nature of the organisation and what it does, but might include things such as theft or fraud, physical violence, gross negligence or serious insubordination.

25 Where an employee is persistently unable or unwilling to attend a disciplinary meeting without good cause the employer should make a decision on the evidence available.

Provide employees with an opportunity to appeal

26 Where an employee feels that disciplinary action taken against them is wrong or unjust they should appeal against the decision. Appeals should be heard without unreasonable delay and ideally at an agreed time and place. Employees should let employers know the grounds for their appeal in writing.

27 The appeal should be dealt with impartially and, wherever possible, by a manager who has not previously been involved in the case.

28 Workers have a statutory right to be accompanied at appeal hearings.

29 Employees should be informed in writing of the results of the appeal hearing as soon as possible.

Special cases

30 Where disciplinary action is being considered against an employee who is a trade union representative the normal disciplinary procedure should be followed. Depending on the circumstances, however, it is advisable to discuss the matter at an early stage with an official employed by the union, after obtaining the employee's agreement.

31 If an employee is charged with, or convicted of a criminal offence this is not normally in itself reason for disciplinary action. Consideration needs to be given to what effect the charge or conviction has on the employee's suitability to do the job and their relationship with their employer, work colleagues and customers.

Grievance

Keys to handling grievances in the workplace

Let the employer know the nature of the grievance

32 If it is not possible to resolve a grievance informally employees should raise the matter formally and without unreasonable delay with a manager who is not the subject of the grievance. This should be done in writing and should set out the nature of the grievance.

Hold a meeting with the employee to discuss the grievance

33 Employers should arrange for a formal meeting to be held without unreasonable delay after a grievance is received.

34 Employers, employees and their companions should make every effort to attend the meeting. Employees should be allowed to explain their grievance and how they think it should be resolved. Consideration should be given to adjourning the meeting for any investigation that may be necessary.

Allow the employee to be accompanied at the meeting

35 Workers have a statutory right to be accompanied by a companion at a grievance meeting which deals with a complaint about a duty owed by the employer to the worker. So this would apply where the complaint is, for example, that the employer is not honouring the worker's contract, or is in breach of legislation.

36 The statutory right is to be accompanied by a fellow worker, a trade union representative, or an official employed by a trade union. A trade union representative

who is not an employed official must have been certified by their union as being competent to accompany a worker. Employers must agree to a worker's request to be accompanied by any companion from one of these categories. Workers may also alter their choice of companion if they wish. As a matter of good practice, in making their choice workers should bear in mind the practicalities of the arrangements. For instance, a worker may choose to be accompanied by a companion who is suitable, willing and available on site rather than someone from a geographically remote location.

37 To exercise the statutory right to be accompanied workers must make a reasonable request. What is reasonable will depend on the circumstances of each individual case. A request to be accompanied does not have to be in writing or within a certain time frame. However, a worker should provide enough time for the employer to deal with the companion's attendance at the meeting. Workers should also consider how they make their request so that it is clearly understood, for instance by letting the employer know in advance the name of the companion where possible and whether they are a fellow worker or trade union official or representative.

38 If a worker's chosen companion will not be available at the time proposed for the hearing by the employer, the employer must postpone the hearing to a time proposed by the worker provided that the alternative time is both reasonable and not more than five working days after the date originally proposed.

39 The companion should be allowed to address the hearing to put and sum up the worker's case, respond on behalf of the worker to any views expressed at the meeting and confer with the worker during the hearing.

The companion does not, however, have the right to answer questions on the worker's behalf, address the hearing if the worker does not wish it or prevent the employer from explaining their case.

Decide on appropriate action

40 Following the meeting decide on what action, if any, to take. Decisions should be communicated to the employee, in writing, without unreasonable delay and, where appropriate, should set out what action the employer intends to take to resolve the grievance. The employee should be informed that they can appeal if they are not content with the action taken.

Allow the employee to take the grievance further if not resolved

41 Where an employee feels that their grievance has not been satisfactorily resolved they should appeal. They should let their employer know the grounds for their appeal without unreasonable delay and in writing.

42 Appeals should be heard without unreasonable delay and at a time and place which should be notified to the employee in advance.

43 The appeal should be dealt with impartially and wherever possible by a manager who has not previously been involved in the case.

44 Workers have a statutory right to be accompanied at any such appeal hearing.

45 The outcome of the appeal should be communicated to the employee in writing without unreasonable delay.

Overlapping grievance and disciplinary cases

46 Where an employee raises a grievance during a disciplinary process the disciplinary process may be temporarily suspended in order to deal with the grievance. Where the grievance and disciplinary cases are related it may be appropriate to deal with both issues concurrently.

Collective grievances

47 The provisions of this Code do not apply to grievances raised on behalf of two or more employees by a representative of a recognised trade union or other appropriate workplace representative. These grievances should be handled in accordance with the organisation's collective grievance process.



Helpline 0300 123 1100

18001 0300 123 1100
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Acas Customer Services Team who can provide details of services and training in your area or visit **www.acas.org.uk/training**

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Ref: CP01

04/18

Witness Testimony of Supervision meeting

Written by Rhian Layton 10/07/19.

Rhian Layton An employee had shared their concerns with Lowri regarding content of a supervision meeting with their line manager. It had been noted that their line manager had expressed concern around confidentiality and the employee failing to meet the standard of data validation behaviour. The employee had become angry and irate after the meeting and believed that the line manager was picking on her and didn't recall the incident that she had mentioned.

As the meeting had just happened, Lowri suggested that the employee make a note of her concerns following the meeting and that she would meet with the line manager to retrieve her side of the story. From the line managers' perspective, she believed that the employee had taken her comment out of context but advised she should have explained it better in a different tone.

As it was believed to be a miscommunication, Lowri didn't suggest to the employee to raise as a formal grievance but it was suggested that both employee and line manager have a catch up meeting in the morning and have an opportunity to clearly explain both sides of the story by having an open and honest communication. Lowri agreed to be present.

During the meeting, both employee and line manager had an opportunity to share both sides of their story. Both mutually agreed moving forward that the issue had been resolved and that they would take into consideration the impact of words and how it can be clarified better in the future. Lowri reiterated to the line manager that matters should have to wait until a supervision meeting and can be dealt with informally when the incident had happened.

BRO MYRDDIN HOUSING ASSOCIATION

PERFORMANCE APPRAISAL POLICY AND PROCEDURE

1. INTRODUCTION

It is important that all employees are aware of what is required of them in their role within the Association and how they are performing in their role.

This policy aims to set out straight forward clear guidelines on effective annual Performance Appraisals.

Together with Probationary Period Reviews, regular one to one Supervision meetings and Capability Policy, this process will provide a fair and transparent mechanism for assessing performance and personal development.

2. ROLES AND RESPONSIBILITIES

All employees will have an annual appraisal. It is the responsibility of all employees to co-operate fully with the appraisal process and ensure that time is taken prior to the review meeting to reflect and focus thoughts.

It is the responsibility of all line managers to co-operate fully with the process and ensure that time is taken prior to the review meeting to reflect and focus thoughts.

Senior Management will monitor both the completion of appraisals and the quality of discussions and documentation.

New employees will be informed of the process during their induction and line managers will receive training and support as required.

Information from appraisals will inform any training and development plans.

3. PREPARING FOR THE PERFORMANCE APPRAISAL

The Employee

All employees should take time prior to the meeting to prepare and consider what they wish to discuss. This could include:

- Are you clear about your role and how it fits into the objectives of The Association?
- What is your overview of your performance?
- What do you feel you have done best and why?
- What do you feel you have done least well and why?
- What positive influences have helped you and what negative influences have hindered you?
- Do you have any ideas as to how you could perform better and how the Association as a whole could perform better?
- Do you have any comments to make as to how your line manager could help to support you in improving your performance?
- How effective was any training and development you received in helping you to achieve your objectives?
- How are you feeling about your career in general terms?

The Line Manager

It is the responsibility of all line managers to ensure that time is taken prior to the review meeting to reflect and focus thoughts. This could include:

- The strengths of the individual and areas for improvement in his/her current role.
- An assessment of the individual's performance in the previous 12 months against the relevant objectives set.
- The impact on performance of any learning and development completed in the year.
- The individual's own career ambitions and whether the line manager believes they are realistic.
- The individual's objectives for the next 12 months.
- The recommended learning and development needs of the individual in order to improve in their role.

4. THE ANNUAL PERFORMANCE APPRAISAL REVIEW MEETING

At the annual Performance Appraisal meeting, the line manager will:

- Ensure the employee is clear about the competencies/skills required for a role, and at what level the employee is required to perform
- Provide his/her assessment of the employee's performance within the scope of their role.
- Discuss any issues raised in relation to the employee's performance at work and any career aspirations.
- Set future business performance objectives and targets.
- Agree any help, including training and development, needed to support their achievement.

5. VENUE

An appraisal is a confidential discussion that must be conducted appropriately.

The meeting should take place at a mutually convenient time and employee given enough notice (at least one week) to ensure they have time to prepare adequately.

It is vital that enough time is afforded for the meeting itself (normally a maximum 2 hours should be set aside) and that it takes place in an environment that is appropriate to the process.

Line managers should ensure that the meeting is undisturbed (except for absolute emergencies) and that telephones are diverted to minimize any risk of interruption.

The line manager should ensure that the employee has had the opportunity to contribute everything that he/she wanted to at the meeting, that they fully understand the key points of the meeting (whether in agreement or not) and that all the information required is available to complete the form after the meeting.

6. ASSESSMENT OF PERFORMANCE

Although the Appraisal process does not directly form part of any salary setting/review process, it is important that the employee is clear as to whether they are performing to an acceptable standard in their role.

Issues of under-performance should be addressed throughout the year and not left until an appraisal interview.

7. THE PAPERWORK

The Performance Appraisal form (See Appendix 1) should be completed by the line manager within 2 weeks of the meeting. It should then be forwarded to the employee to review the contents, sign and return to the line manager within 1 week.

This should then be forwarded to the line manager's senior manager for final sign off and comments. The final version should also be forwarded to the Head of Corporate Resources. Whenever possible documents should be circulated and submitted electronically.

The following points should be noted:

- Where there is disagreement regarding content on the annual performance form, this should be discussed between the employee and the line manager and every effort made to achieve an agreed outcome.
- The electronic (or handwritten) signature of the employee is in recognition of having received and read the annual performance review, essentially operating as a receipt.

8. TRAINING AND DEVELOPMENT NEEDS

The assessment of the value of training & development carried out during the period of review and the identification and recording of further needs plays an important part in the Association's ability to effectively complete other activities required within the business planning cycle, including budgeting, planning, programming and delivering future training and development. Assessing the relevance/value of completed activities will help in informing decisions on future activities.

It is essential to realise that training is not carried out for training's sake – it must be linked to the need to achieve agreed formal qualifications required, performance objectives, improving competence in the role, and ultimately to achieve organisational outcomes.

9. FOLLOW UP PROCESS

Following the annual performance interview, periodic reviews can be undertaken to track progress against objectives, discuss any barriers to success and ensure that the objectives continue to be relevant. There is no compulsory review period however, a mid year (i.e. 6 month) review is considered the minimum in terms of best practice.

10. WHAT HAPPENS NEXT

It should be remembered that the form becomes a working document through the year for use by line managers and employees to track progress through observation, feedback and regular supervision and to agree/append any changes/amendments as the year progresses.

Version	**3**
Date of Policy	**November 2017**
Date approved by P&R Committee	**November 2017**
Next review date	**November 2020**
Responsible person	**Director of Corporate Resources**

Annual Performance Review 2018

DATE:……..

Staff members name:		**Reviewers name:**	
Job Title:		**Job Title:**	
General guidance	➢ Ensure the conversation is an honest 2 way dialogue about performance ➢ Staff member under review to complete first 3 boxes prior to meeting and submit to reviewer prior to meeting ➢ Discuss content and look to tease out more in jointly agreeing final content ➢ This is a summary – please keep it brief and on this page only ➢ Send a copy for filing to the HR department ➢ The text should be agreed but, if you can't agree, liaise with HR.		
What are the main things achieved during 2017/18? Why did it go so well?			
What are the things that could have been better? What learnings can be taken?			
What objectives, personal developments and training needs could be achieved over the next 12 months?			
Reviewers summary of the staff members performance			

Lowri Davies

From: [redacted]
Sent: [redacted]
To: [redacted]
Subject: Performance Appraisal - Update

Dear all,

A quick email following on from the Management Team Meeting yesterday.

The Performance Appraisal process was submitted for discussion under agenda item AOB.

There were concerns with the timing and content of the forms between each line manager. To ensure consistency between all line managers and ensure that all employees are being treated fairly, the following were agreed by all present:

- Appraisals to begin with the CEO and cascade down to employees (CEO – Senior Management – Managers – Officers – Assistants).
- Corporate Priorities to be agreed and included within employee objectives and goals.
- Appraisals to begin from November and conclude by January 2019 – allows budgets and planning for 5 year corporate business plan.
- Introduce vlaues into the appraisal form and ask that members link their achievements aims to these.

If you have any queries, I will be happy to discuss them with you.

Many thanks,
Lowri



www.gov.wales

Welsh Government Housing Regulation

Regulatory Judgement

Bro Myrddin Housing Association – L069

May 2019

The Welsh Ministers have powers under Part 1 of the Housing Act 1996 to regulate Registered Social Landlords in relation to the provision of housing and matters relating to governance and financial management.

The Welsh Ministers are publishing this Regulatory Judgement under sections 33A and 35 of the Housing Act 1996.

The judgement is published in accordance with the Regulatory Framework for Registered Social Landlords in Wales and the related performance standards.

http://gov.wales/topics/housing-and-regeneration/services-and-support/regulation/regulatory-framework/?lang=en

The judgement is based upon the Association's own evaluation of its compliance with the performance standards together with regulatory intelligence gained through on-going, co-regulatory, relationship management between the Regulator and the Association.

Basis of Judgement

This judgement is designed to provide the Registered Social Landlord, its tenants, service users and other stakeholders with an understanding of its financial viability and how well it is performing, at a specific moment in time, in relation to:

- Governance and Service Delivery
- Financial Management

The judgement must not be relied upon by any other party for any other purpose. The Registered Social Landlord is responsible for the completeness and accuracy of information provided to the Regulator.

Housing Regulation Team
Welsh Government
Merthyr Tydfil Office
Rhydycar
CF48 1UZ
e-mail: housingregulation@gov.wales

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Profile

Bro Myrddin Housing Association ("Bro Myrddin" or "the Association") is a traditional housing association registered under the Co-operative and Community Benefit Societies Act 2014, with charitable rules.

Bro Myrddin owns and manages 888 homes (as at 31 March 2019) within Carmarthenshire and Pembrokeshire County Councils. They include general needs homes, two shared ownership properties and two group care homes with eight bed spaces.

For the year ending 31 March 2018, the Association's turnover was £5.1m (2017: £4.6m), its retained surplus was £792k (2017: £643k) and it employed 38 staff (2017: 40).

Key Financial Data

	Historical Data		Covenant Limit	Sector Average
	2016/17	**2017/18**		**2016/17**
Performance				
Operating surplus as % of turnover	23.4%	24.0%	n/a	21.3%
Surplus transferred to reserves as % of turnover	13.9%	15.6%	n/a	6.5%
Loss from empty properties and uncollected rent as % of rental income	1.9%	1.8%	n/a	2.0%
Funding				
Fixed borrowing as a % of total	68%	59%	n/a	74%
Gearing	39%	40%	55% *	61%
Interest cover	181%	160%	120% *	172%
Current cash balances and undrawn facilities are sufficient for the Association to complete its committed development programme. * Gearing covenant limit has subsequently been increased to 60%, and interest cover limit reduced to 110%.				

Regulatory Judgement – Co-Regulation Status

Co-Regulation Status – May 2019

Governance and Services - Standard

- Identifies and manages new and emerging risks appropriately.

Financial Viability - Standard

- Meets viability requirements and has the financial capacity to deal with scenarios appropriately.

Our Mission, Visions and Values

In running its business Bro Myrddin ensures it achieves its mission, focuses on its vision and stays true to its values:

Our Mission
To provide affordable homes and services to a high standard, whilst ensuring resident and other stakeholder participation

Our Vision
To be the housing provider of choice in our communities

Our Values
Proactive – we can be relied upon to be proactive, innovative and customer focused in our approach to delivering quality services.
Work together – we recognise we are empowered and empower others by working together. We value the uniqueness of individuals, welcome difference and diversity, act with integrity and are approachable and respectful.
Accountable – we are accountable for our actions and transparent in what we do.
Motivated – we are motivated to be reliable as individuals and as professionals while creating opportunities for positive outcomes for residents and the community.

Lowri Davies

From: [redacted]
Sent: [redacted]
To: [redacted]
Subject: RJ Probation

Hi Lowri,

Following on from my emails below, please find attached RJ 6 Month Probationary Review.

Thank you for suggesting to complete additional 121 meetings with him. There were areas that his performance as lacking in January but by creating an action plan and arranging for him to attend Essential Skills for Line Managers training, he has been able to pass his 6 month review.

For information, he has completed ¾ assignments for his QCF and he is on track to complete by November 2019.

Many thanks,
Lowri

From: [redacted]s
Sent: 05 December 2018 15:48
To: Lowri Davies <Lowri.davies@bromyrddin.co.uk>
Cc: [redacted]
Subject: RE: [redacted]

Hi LDD

Thank you for your email. The content is noted. I will complete Richard's 3 month probation this week.

I have also scheduled RJ's 6 month probation review so I do not forget again.

I will continue with completing monthly supervisions until RJ has completed his 6 month probationary review.

Many thanks for your help,

Kind regards

KH

From: Lowri Davies
Sent: 05 December 2018 10:01
To: [redacted]
Cc: [redacted]
Subject: RE: Richard's Probation

Hi [redacted]

Thank you for your email.

RJ was faced with unfortunate circumstances at the beginning. I would agree that he would continue and have his 3 month completed in December and 6 Month in March 2019. It would be much appreciated if this could be

considered as a priority and completed in December. This way, RJ will be supported throughout the 6 months to fulfil his role.

Although, I'd suggest that monthly supervisions are held in January and February to monitor his progression working through the areas for development as he is new in his position and completing his QCF Level 5.

Many thanks
Lowri

From: [redacted]
Sent: 05 December 2018 09:52
To: Lowri Davies <Lowri.davies@bromyrddin.co.uk>
Cc: [redacted]
Subject: [redacted] Probation

Hi

Please can you assist me. When RJ started as SSW in July, he was faced with some unforeseen and unfortunate circumstances. As a result he was not in work during the first two months. Please can we agree a date for his 3 month and 6 month probation reviews? I am thinking that we start from September when he returned from leave etc. Would you agree that I complete his 3 month now? The 6 month could then be in March 19?

I would appreciate your thoughts and guidance.

Many thanks

KH

Management Meeting Minutes 23/07/19

Attendees 7 attendees
Apologies 1 attendee

Meeting date	Agenda i	Agenda item.	Meeting notes	Actions	Resp. Person	Target Date	Comp. Date	Comments
23/07/2019	37	**Frequency of meetings**	Managers were asked to share their ideas on frequency and length of meetings	Meetings to be added to a calendar of events and held every month.	HRM	30/09/2019		
23/07/2019	37	**Performance Appraisals**	Performance Appraisals to begin with CEO -> EMT -> Managers -> Employees to cascade down corporate priorities and feed into budgets for next financial year. Beginning from November and end in January.	Line Managers to arrange appraisals following their own initial appraisal.	Managers	31/01/2020		

Davies

Holiday ↓
207.00
31.00
0.00
238.00
145.25
92.75

Sickness ↓	
Total Taken	138.00
Occasions	2.00
Rolling Year	145.00
Rolling Year Occasions	3.00

TOIL
Earned
Taken
Remaining

Absence Year
01/02/2019

View Group

Lowri Davies

From: Lowri Davies
Sent: 28 June 2019 09:37
To: [redacted]
Subject: [redacted]

Follow Up Flag: Follow up
Flag Status: Completed

Good morning all,

We are 3 months into the year, and it would have been expected that at least 1 supervision meeting had been held with employees with notes provided to HR, with the next scheduled for July.

To keep on track of these meetings, the following methods have been used;

- Setting a scheduled event in calendar for every 8 weeks;
- Onus on employee to arrange the next meeting after the last has been held;
- Arranging your meetings following supervision with your manager.

This is not an exhaustive list, but please use an approach that is best used for you to ensure that these meetings are held every 8 weeks.

This is now being reported to Board on a quarterly basis with a narrative on our progress.

If you do have any concerns, please let me know.

Many thanks,
Lowri

ı	Name
	Adverse Weather Policy
	Community Benefits Policy
	Alcohol and Drugs Policy
	Anti-Fraud Policy
	Bullying and Harassment Policy and Procedure
	Business Continuity Plan BMHA and Hostels
	Capability Policy
	Code of Conduct Policy
	Complaints and Concerns Policy
	Data Backup Policy

Witness Testimony of Flexible Working Application.

Written by Samantha Fell 15/07/19.

As I had only recently been appointed through internal promotion as an Operations Manager, I was nervous when I had received a flexible working application from an employee. I had read the Flexible Working Policy but Lowri was happy to go through it with me to answer any queries. HR highlighted that it was my responsibility to liaise with the employee and conduct the meeting but can liaise with them for support, advice and administrative duties.

This case wasn't as straightforward as my employee was a Site Warden. Her salary was included within the service charge for residents on the scheme. Due to the potential decrease in their service charge and rent, a further consultation would be required to complete this work. Lowri explained that due to the extent of the application, it would be worthwhile conducting a meeting with the employee and advising of the additional requirements that needed to be considered, as the employee expressed that she'd like the decision to be made within 6 weeks.

Prior to the meeting, Lowri briefed me on important questions and information that needed to be shared;

- What was the purpose of your flexible working application?
- Have you taken into consideration the needs of the team?
- Would you be willing to be flexible for the needs of the organisation?
- Will this positively impact on your well-being?
- Is there anything else that the Association can do for you?
- Inform of the potential delay in progressing with the application due to resident consultation and Christmas period.

The meeting went well and I was confident that I had all the information needed to pursue the case.

I confirmed with the employee that they were happy to wait 12 weeks. They were pleased with the quick arrangement of the meeting and that they were kept informed of the status of their application.

To come to a decision, we both worked together in collating the data from resident consultation, impact on organisation and staffing, meeting the requirements of the service and analysed their outcome.

Lowri had supported me by raising my confidence and trusting that I could do the role. I did it all myself but she provided support by reminding myself of the prompts above. It has built a better relationship between the employee and me, due to the fact that I was reminded to keep them informed throughout the process and the ability to meet their expectations in completing the request within the set timescale.

BRO MYRDDIN HOUSING ASSOCIATION

FLEXIBLE WORKING POLICY AND PROCEDURE

1. INTRODUCTION

The Association believes that its employees are its most valuable asset and is committed to attracting and retaining the very best, and utilising all the talent and experience available within the community. It also appreciates that the UK workforce is becoming increasingly diverse and includes a high percentage of parents and individuals with other caring responsibilities, as well as those whose interests and aspirations impact on their time. It therefore appreciates that the standard Monday to Friday, 8.30am to 4.30pm working week is, in some cases, incompatible with increasing demand for a better work-life balance.

The Association recognises the importance of helping its employees balance their work and home life by offering flexible working arrangements that enable them to balance their working life with other priorities, including parental and other caring responsibilities, life-long learning, charity work, leisure activities and other interests.

In turn it recognises that staffing levels must at all times remain in line with the demands of the business.

This policy statement aims to set out the ways in which flexible working can increase employee motivation, build better relationships between the Association and its employees, increase the rate of retention of staff, reduce absence, attract new talent, promote work-life balance and reduce employee stress, and in doing so improve the Association 's efficiency, productivity and competitiveness. It provides a description of the issues involved, taking into account the possible benefits of each kind of flexible working to both employees and the Association, but also raising possible drawbacks and areas of potential concern.

The policy statement considers the following options, but the Association recognises that there may be alternatives, and that the working pattern that may suit any particular individual could be a unique one involving a combination of options:

- job-sharing;
- part-time working;
- term-time working;
- swapping hours;
- voluntary-reduced working time;
- working from home;
- career breaks;

See Appendix 1 for an explanation of each option.

2. THE BUSINESS NEED

Although the Association is committed to providing the widest possible range of working patterns for its workforce, both management and employees need to be realistic and to recognise that the full range of flexible working options will not be appropriate for all jobs across all areas of the business. Due to the size of the workforce the Association may not be able to offer all options for consideration.

Where an instance of flexible working is proposed the Association will need to take into account a number of criteria including (but not limited to) the following:

- the cost of the proposed arrangement;

- the effect of the proposed arrangement on other staff;
- the level of supervision that the post-holder requires;
- the structure of the department and staff resources;
- other issues specific to the individual's department;
- an analysis of the tasks specific to the role, including their frequency and duration;
- analysis of the workload of the role.

3. ELIGIBILITY

Although it is recognised that not all of the flexible working patterns considered will be suitable for all sections of the Association's workforce, there should be no arbitrary barriers. Employees in all areas and levels of the company will be considered for flexible working regardless of their age, sex, sexual orientation, race, or religion or belief, or whether they have a disability, their level of seniority, their current working pattern, or whether they are employed on a permanent or fixed-term basis.

However, there is no automatic right for employees to change to any of the flexible working patterns - each application will be considered on the basis of the particular work involved and any detrimental effect the change could have on individual, team or business performance.

4. RIGHT TO REQUEST FLEXIBLE WORKING

All employees with 26 weeks' continuous service have the right to request a change to the number of hours that they work, the times that they work, their duties, their place of work or any other terms of their employment.

Any agreed change to terms and conditions will be permanent, unless we agree otherwise.

An employee can only make one application per year. If the employee has made a previous application to the Association for flexible working arrangements then the application must state this and give the date on which the previous application(s) are or were made.

5. TRAINING AND SUPPORT

The Association recognises that both managers and employees may benefit from training to accustom themselves to working patterns with which they are unfamiliar.

6. PUBLICITY

The Association will ensure that all managers and employees are kept aware of the flexible working options open to them. In an effort to increase acceptance of flexibility throughout the organisation the Association is also committed to publicising examples of successful strategies.

A statement on the Association's policy on flexible working practices will be included in all recruitment literature to encourage applications from the widest range of job applicants possible.

7. TIME

Sufficient time to implement and fine-tune new working practices will always be permitted.

8. LAW RELATING TO THIS DOCUMENT

- Leading statutory authority
- Flexible Working (Eligibility, Complaints and Remedies) Regulations 2002 (SI 2002/3236)
  Flexible Working (Procedural Requirements) Regulations 2002 (SI 2002/3207)

Flexible Working (Eligibility, Complaints and Remedies) (Amendment) Regulations 2006 (SI 2006/3314)

- Flexible Working (Eligibility, Complaints and Remedies) (Amendment) Regulations 2009 (SI 2009/595)
  Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 (SI 2000/1551)
  Employment Rights Act 1996
  Working Time Regulations 1998 (SI 1998/1833)
  Working Time (Amendment) Regulations 2007 (SI 2007/2079)
- National Minimum Wage Act 1998National Minimum Wage Regulations 1999 (Amendment) Regulations 2009 (SI 2009/1902)
- Equality Act 2010
  Health and Safety at Work etc Act 1974
  Management of Health and Safety at Work Regulations 1999 (SI 1999/4242)
  Health and Safety (Display Screen Equipment) Regulations 1992 (SI 1992/2792)

9. HOW TO MAKE A FLEXIBLE WORKING REQUEST

If you wish to make a request, please complete Appendix 2 to this policy and submit it by email to your line manager. In any event, your request should:

- be made in writing initially to your line manager, either on paper, e-mail or fax and signed and dated;
- state if it is being made under statutory right;
- specify the flexible working pattern for which you wish to apply;
- give an explanation of what effect, if any, you believe the proposed change may have on the Association and how to deal with such an effect.
- state start date for proposed change (allowing reasonable time for the Association to consider and implement the change);
- state if you have made any applications to the Association previously and if so when.

The Association will deal with your request from start to finish, including all meetings, written decisions, and the appeal stage (if applicable) within a three-month period.

Please note if a request to work flexibly is granted there is no automatic right to return to your previous pattern of work.

10. GROUNDS ON WHICH A REQUEST MAY BE REFUSED

- The burden of additional costs
- Planned structural changes
- A detrimental impact on quality
- The inability to recruit additional staff
- A detrimental impact on performance
- The inability to reorganize work amongst existing staff
- A detrimental effect on ability to meet customer demand
- Lack of work during the periods you propose to work

11. APPEAL

You may appeal our decision in writing within 7 days of receiving it, setting out your grounds of the appeal.

We will either invite you to an appeal meeting within 14 days of receiving your appeal, or allow your appeal without a meeting.

We will give you a written appeal outcome within 14 days of the hearing. If we allow the appeal, we will specify the variation agreed and the date from which it is to take effect. Where we reject your appeal, we will explain why. This decision will be final.

12. WITHDRAWAL OF APPLICATION

The Association will treat your application as withdrawn in the following circumstances:

- where you have notified the Association verbally or in writing that you are withdrawing the application; or
- where you have, without reasonable cause, on more than one occasion failed to attend a meeting; or
- where you have without reasonable cause, refused to provide the Association with information required in order to properly assess whether your request to work flexibly should be granted.

The Association will provide written confirmation of the withdrawal of your application.

Version	**4**
Date of Policy	**May 2018**
Date approved by P&R Committee	**May 2018**
Next review date	**May 2021**
Responsible person	**Director of Corporate Resources**

APPENDIX 1

FLEXIBLE WORKING OPTIONS

The Association recognises that flexible working boosts employees' commitment and aids an organisation's performance by decreasing expenditure on advertising, recruitment, interview time, inductions and training. However, given the nature of the Association's work and its size not all flexible working practices listed below will be suitable for all working environments.

1. JOB-SHARING

An arrangement whereby two part-time employees share the responsibilities of one position.
In a 'shared responsibility' arrangement the individuals both carry out all the duties of the job, simply picking up the work where the other one left off, while in a 'divided responsibility' arrangement the duties of the position are divided between the two individuals, with each being able to provide cover for the other where necessary.

2. PART-TIME WORKING

A system whereby the employee is contracted to work fewer than the standard number of contractual hours per year for the type of work in question.

3. TERM-TIME WORKING

A system whereby the employee works under a permanent contract, but can take leave of absence during the school holidays.

Salary is usually paid in 12 equal monthly instalments, although the employee could also be paid only for the time worked and receive no pay during the holidays. The contract usually specifies that no annual holiday should be taken during term time.

4. SWAPPING HOURS

A system whereby employees can swap hours or shifts with colleagues doing the same type of work at different times of the day.

5. VOLUNTARY REDUCED WORKING TIME (V-TIME)

A system whereby it is agreed that the employee will work reduced hours for a certain period of time, with a return to full-time hours at the end of this period.
Salary, pension, holiday and other benefits are pro rated during this time.

6. WORKING FROM HOME

A system whereby the employee carries out all or a proportion of his/her duties from home rather than on the employer's premises. It may consist of the occasional day at home to coincide with a domestic requirement, or a regular arrangement of several days a week.

7. CAREER BREAKS

A system whereby the employee has an extended period of time away from paid work, often with a guarantee of a return to the same or a similar job at the end of the time.

APPENDIX 2

Bro Myrddin Housing Association
Flexible Working Application

1. Personal Details

Name: Staff or payroll number:

Manager: National Insurance No:

To the employer

I would like to apply to work a flexible working pattern that is different to my current working pattern under my right provided under section 80F of the Employment Rights Act 1996. I confirm I meet each of the eligibility criteria as follows:

- I have worked continuously as an employee of the company for the last 26 weeks.
- I have not made a request to work flexibly under this right during the past 12 months.

Date of any previous request to work flexibly under this right:

If you are not sure whether you meet any of the criteria, information can be found on Gov.UK.

If you are unable to tick all of the relevant boxes then you do not qualify to make a request to work flexibly under the statutory procedure. This does not mean that your request may not be considered, but you will have to explore this separately with your employer. Many employers offer flexible working to their staff as best practice.

2a. Describe your current working pattern (days/hours/times worked):

2b. Describe the working pattern you would like to work in future (days/hours/times worked):

2c. I would like this working pattern to commence from:

Date:

3. Impact of the new working pattern

I think this change in my working pattern will affect my employer and colleagues as follows:

4. Accommodating the new working pattern

I think the effect on my employer and colleagues can be dealt with as follows:

Name: Date:

NOW PASS THIS APPLICATION TO YOUR EMPLOYER

✂- -
Cut this slip off and return it to your employee in order to confirm your receipt of their application

Employer's Confirmation of Receipt (to be completed and returned to employee)

Dear:

I confirm that I received your request to change your work pattern on:
Date:

I shall notify you of my decision on this application within three months of this date, unless we agree a longer deadline for this decision.

From:

TSW TRAINING

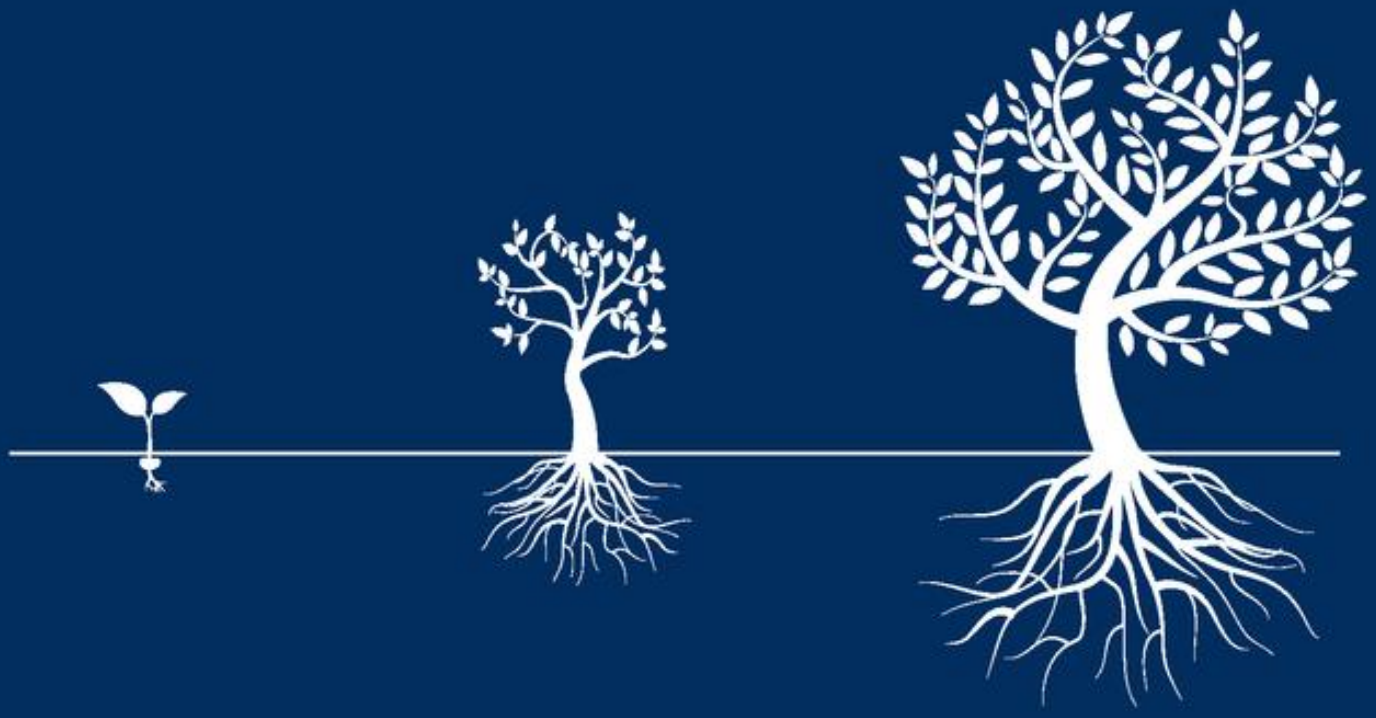
PROPOSAL FOR BRO MYRDDIN

Management Development Programme

January 2018
PRIVATE & CONFIDENTIAL

Produced by:

Andrew Wallbridge and Gareth Harris
Gareth.Harris@tsw.co.uk



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Background

This proposal follows our initial discussions, which explored Bro Myrddin's requirement for a Management development intervention. Our understanding of this brief is as follows:

- A management development programme is required for 9+ Managers at the Association that need to develop a range of practical skills akin to strong management
- Previous ILM Level 3 training has been undertaken – this was too academic for practical application. Future interventions need to be more practical in nature and lead to improved basic management skills
- The success of a management programme such as this requires a top-down approach whereby the Senior Team (Director level) can show its support and commitment, whilst holding the Management Team to account – this may require the attendance of the EMT and possibly CEO.
- An intervention needs to be bite sized with short and sharp practical workshops aimed at developing a consistent approach to management and creating changes in both attitude and behaviour.

The following proposal is written with the above brief in mind.

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Proposed Intervention

Course Content

The following proposal and content outlines do not detail the activities and actual content to be delivered. This will be constructed through the bespoke design process. The content below has been developed to provide a roadmap for the design process and a draft of indicative content for your review and feedback.

TSW is committed to working with you closely; if engaged to design and deliver this programme we would conduct a thorough diagnostic process to ensure we understand your exact requirements, challenges, goals, and the environment in which delegates are working. With these findings we would design a programme specifically aligned to the desired outcomes and created to maximise return on investment.

Management Programme

We would recommend a 6-day modular intervention that spans a period of nine to twelve weeks. Each module will provide practical tools and techniques that individual participants will apply with their own teams. Each module will come with aide-memoirs so that participants can refer to at a later date. Each module covers the following aspects (note that the diagnostic and design process may see the need to eliminate and re-order content according to outcome requirements):

Day One and Two: Skills to Manage and Lead

- Leadership vs Management and the need for both
- Using organisational values as a prism for decision making
- Creating Line of Sight to organisational intent
- Leading an organisation, teams and individuals in times of change
- Neuro Biology of Leading & Managing: Understanding to inform own action
- Developing awareness of own Leadership and Management styles/preferences/SWOT using:
    - Johari's Window
    - Wilson Social Styles
    - Other assessment tools as appropriate
- Managing a person and not their role - techniques
- How to create team ownership and responsibility
- Managing the dichotomy between optimising contribution and personal motivation
- Managing Motivation – understanding individual preferences
- Defining maximum contribution
- Planning own development and reflection

Day Three and Four: People Management in Practice

- Bro Myrddin Policies and Procedures in practice (Key procedure review and discussion) - Including but not limited to:
    - Absenteeism and lateness
    - Appraisal process
    - Recruitment

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- Relationship between HR and the line manager
- Devolved HR responsibility from HR to the line manager
- Acting on advice or guidance from HR professionals – when to seek guidance
- The legal landscape and implications of employment legislation on a manager's actions – the framework in which we work and the links to BMHA's policies and procedures

    - Performance versus capability
    - Tribunals
    - The disciplinary process

- Understanding performance and the consequences of poor performance
- Managing performance in practice – what makes up good performance management in practice?
- The appraisal – what is an appraisal really about?
- The 3 Big Questions of performance appraisals
- How to complete appraisals/supervision effectively
- SMART goal setting – doing it properly in practice
- The no surprises rule of appraisals – in the moment feedback (practical development to follow in next module)
- Assessing learning and development needs for individuals and teams
- Making notes and record keeping – tips and techniques
- Managing discipline and grievance in line with procedure
- Managing absence effectively in line with procedure
- Managing Conversations in practice

Day Five and Six: Developing Self to Get the Best from Others

- Emotional Intelligence to understand self and others

    - Self-Assessment – How emotionally intelligent am I?
    - What can I do with this knowledge to inform my style and my ongoing development to manage people more effectively?

- The challenge of communication

    - Communication importance: the only tool in the toolbox
    - Transactional Analysis in practice
    - Exercising emotional intelligence and empathy
    - Minding the gap – avoiding instant reactions, taking time to make sound decisions and appropriate action
    - Goal and objective setting exercising clarity and brevity
    - Communication in difficult situations

- Coaching on the job and in the moment using LEAP

    - **L**istening & Observing
    - **E**xploring Reality and Opportunities
    - **A**ction Planning and Commitment
    - **P**erformance Review and Feedback

- Using the GROW framework in the moment
- Listening and questioning skills practice

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- Feedback and recognition
- Motivation

Group Action Learning Sets and Coaching Post Intervention (Transfer and ROI Maximisation)

This **optional** intervention can be deployed to bridge the gap between formal learning interventions and the workplace. Several simple techniques are used in the group coaching, which are aimed at holding people to account for their actions and performance whilst providing an opportunity for further team building, reflection and knowledge sharing.

Learners that proceed into the coaching intervention will be challenged to implement what they have learned and reflect on their experiences in the months following the formal intervention. Each learner will have a live action plan, progress against which they will present to their peers, sharing their commitment to ongoing action in line with business and team goals.

Using the action learning set methodology learners will attend sessions with a problem/issue/opportunity (relating to their role as Leader and Manager) that they will present to the group. Members of the group will coach the individual through skilled questioning, helping them to find the best way forward before committing to action. In subsequent sessions the individual will have to present their progress to the group and face constructive challenges when they fall short of their goals and praise when they succeed.

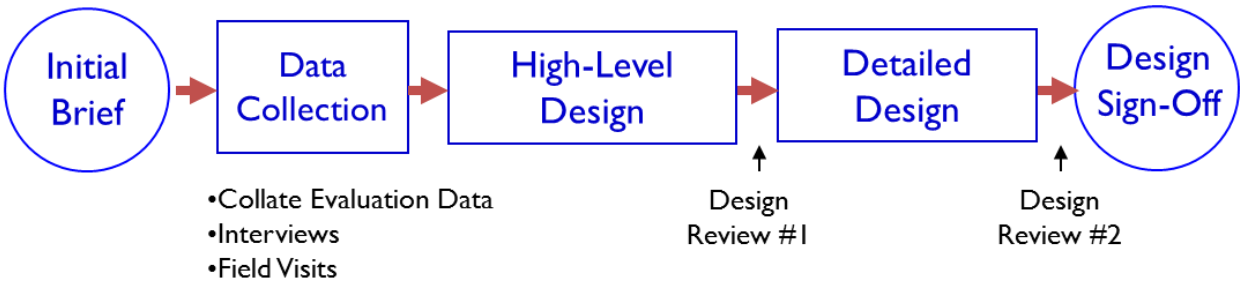
This method has proven extremely effective in creating shared commitment, maximising learning transfer into the workplace and ultimately maximising the ROI from the original training investment. Furthermore, the process reinforces the need for people to continuously develop through reflection, awareness and commitment to improvement.

This post-programme intervention normally consists of 6 sessions over 6 months, but this can be altered according to budgets, numbers and outcomes sought.

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Bespoke Design Process

Whilst we have indicatively shared with you a high-level design of what the programme might include, we will use the following structured process for co-designing the final programme. Through this process we will ensure that the programmes are aligned to your culture and practices, and ultimately focussed on creating the outcomes you desire.



TSW has the expertise and resource to be highly flexible; we can design and deliver at relative short notice and are able to fit delivery around your specific requirements.

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Evaluation and Consulting

TSW would be delighted to offer our services to ensure that Bro Myrddin achieves a measurable return on its investment. If selected, we will work with you at the early stages of design to agree the measures of success, using where possible existing data that can show improvement in areas such as:

- Employee engagement and feedback
- Improvement in performance relating to KPI's
- Managers and Team Leaders fulfilling their roles and responsibilities in full
- Improvement in Internal Communication
- Improved levels of Team work
- Improved delegation
- Observed knowledge, skills and understanding

We will also advise you of measures to be taken internally to prepare delegates for the training and to maximise impact following the programme. As part of our service and included in the costs outlined, we will consult closely with you on other supporting measures that will ensure sustainability of your investment. The optional Coaching is one such intervention, designed to improve impact and your return on investment.

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Your Investment

Bespoke Design Design of all interventions (Including all on-site diagnostic meetings as appropriate) – 5 days @ £400+VAT = **£2000+VAT**
Intervention Delivery £1100+VAT per delivery day (Max 12 delegates) Assuming a 6-day Management Development Intervention = **£6600+VAT**
Action Learning Sets and Coaching Post Intervention (Transfer and ROI Maximisation) Assuming 6 half day sessions @ £500 per session = **£3000+VAT**
Total cost of interventions design and delivery and post-intervention coaching (based on assumptions made) = **£11,600+VAT**

Next Steps…

If you wish to commit to all or some of the above, or you have any queries please contact Gareth on gareth.harris@tsw.co.uk – if you decide to progress with this proposal TSW will liaise with you to make design and delivery arrangements, following which we will send a service level agreement by e-mail, which you will be able to accept online.

I would like to thank you for the opportunity provided and hope that this proposal meets with your requirements.



Andrew Wallbridge
OD Consultant

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BRO MYRDDIN HOUSING ASSOCIATION

ABSENCE POLICY AND PROCEDURE

1. HOLIDAY

Paid holiday entitlement will be as stated in employees' individual Statements of Terms and Conditions of Employment. This entitlement includes any statutory holiday entitlement.

Employees will also be entitled to statutory public holidays in addition to their contractual holiday entitlement (on a pro rata basis if part time). Where a recognised public holiday falls on a Saturday or a Sunday, alternative dates will be substituted for these. Employees will be advised of these as early as possible.

The above is **not** applicable to project based employees whose bank holiday entitlement is included within their basic holiday entitlement.

The Association's Holiday Year is based upon each individual's birth month i.e. if an employee was born on 3 December then their holiday year runs from 1 December - 30 November and holiday entitlement is regarded as building up evenly month by month throughout the year. New employees leave will be calculated on a pro-rota holiday entitlement until the individuals' birth month.

For clarification, there is no **entitlement** to automatic additional days granted over and above the contractual and statutory holidays over the Christmas period, however the Board of Management and Chief Executive may agree to award additional discretionary days linked to the closing of the Offices.

2. TIME OFF IN LIEU (TOIL)

This doesn't form part of your contract of employment and may be changed from time to time in line with current best practice and statutory requirements, and to ensure that the needs of the business are fully met. You will be consulted and advised of any changes proposed, unless the change being made is required to meet current legislation.

However, the Employer also recognises that it has a duty of care to protect the health and safety of employees by ensuring that they do not work above the legal working time limits and they are properly recompensed through TOIL (time off in lieu), or in specific cases overtime payment, for any additional time that they have worked.

It may be authorised to take as a result of working additional time outside your normal hours. TOIL allows employees to respond flexibly to unexpected organisational and/or personal needs, (i.e. staff shortages in the workplace or an unexpected personal issue).

GENERAL

TOIL is not a tool to be used to accumulate time to enable extra days leave to be taken. Most duties should be carried out as part of normal contractual working hours.

- TOIL is an exception rather than a routine occurrence. It is to ensure that when employees work extends beyond normal working hours, this time can be recovered through an agreed process. Employees must discuss and agree with their Line Manager in advance of any time to be worked outside normal working hours.
- TOIL should not result in changes to normal working arrangements, for example every Friday afternoon becoming a "TOIL" afternoon, or working through lunch times and leaving work early each day.

- The scheme must be utilised in the best interests of effective service provision. This requires co-operation between employees and employer to ensure adequate cover is provided as necessary.
- The success of the scheme is based on trust. Any member of staff who is found to have abused the TOIL scheme may have the benefit withdrawn and may be subject to disciplinary actions.

The following rules apply when accruing toil;

- Employees will not accrue more than 15 hours TOIL each month, except in exceptional circumstances and with prior consent from their Line Manager.
- TOIL must be taken within 6 months of accrual otherwise the time will be forfeited. In exceptional circumstances when it's impossible to take within this timescale the employee may, in consultation with their Line Manager, receive reimbursement at normal rate of pay for the equivalent number of hours worked.
- Time off must be equal to time actually worked, eg 2 hours worked equates to 2 hours TOIL. However, it should be noted that time must not be earned and/or taken in periods of less than 30 minutes.

3. BOOKING AND RECORDING ABSENCES

New Employees (Only for Holiday absences)
An employee will commence earning holiday entitlement from the first day of their employment. The Association will not permit an employee to take more holiday than they have earned to date, although in exceptional circumstances (e.g. where already committed to a holiday before commencement at the Association), unpaid leave may be agreed.

All Employees (Only for Holiday absences)
Leave of 5 days or more must be booked a minimum of 2 weeks in advance with your line manager. (In emergency circumstances where an employee is unable to comply with the notice, leave may be granted at the discretion of the line manager). A maximum of two weeks' holiday, including any public holidays can be taken at any one time but exceeding this must be agreed by the Chief Executive. The CEO must receive permission from the Chair.

All employees are responsible for their absences and should ensure they're pre-booked and recorded on the Association's absence system – Cascade Go, and that it's authorised by the line manager. TOIL that has been earned should be recorded within 1 day for the system to be readily up to date for HR department and line managers to audit.

Before requesting an absence, employees should check their department calendar to ensure absence requests will not affect the staffing levels during leave.

It is the Employee's responsibility to ensure that their request reaches their line manager.

All statutory holidays must be taken during the current holiday year. However, at the discretion of the line manager a maximum of 5 days holidays may be taken forward to the following year, subject to these being taken within the first three months of the new holiday year.

Employees leaving the organisation

If an employee leaves for any reason, payment in lieu of holidays which have been earned since the beginning of their holiday year will be made on a pro rata basis. Conversely if an employee leaves the

Association having taken holidays in excess of their entitlement, an equivalent deduction will be made from their last salary payment.

The remaining amount of TOIL accrued in the last 6 months can either be taken by the employee prior to their end date or paid in their last salary.

The Association reserves the right to refuse to make payment in lieu of accrued absences over and above the statutory minimum entitlement under the Working Time Regulations on termination for gross misconduct or if the employee does not give any notice.

Version	**1**
Date of Policy	**February 2019**
Date approved by EMT	**April 2019**
Next review date	**April 2022**
Responsible person	**Director of Corporate Resources**

CYMDEITHAS TAI
Bro Myrddin
HOUSING ASSOCIATION

QUARTERLY STRATEGIC REPORT
QUARTER ENDED 30 JUNE 2019

1. The Association holds a strong ethos around communicating regularly with staff to ensure they are supported, included and hear information from source with staff currently receiving monthly briefings (this is currently under review). Over the last year, 167 performance meetings were held from a potential 183. Our policy states that 6 meetings should be held during a year (one every 2 months), with one being replaced by a Performance Appraisal. Due to absences and leavers, the measure stands at 91.2% from a target of 100%. The HR Department will continue to work with Line Managers to monitor and remind the importance of conducting these meetings.

2016/17 – 85%
2017/18 – 90%
2018/19 – 91%

CYMDEITHAS TAI
BRO MYRDDIN

BRO MYRDDIN
HOUSING ASSOCIATION

1979 Mlwyddiant | Anniversary 2019



2019 CORPORATE PLAN



Our Vision is simple...

To be there for our people.

Our aspiration is to be an exceptional Housing Association, it drives everything we do.

We will do everything within our resources to deliver excellence for our people and our communities.

Our CEO and Chair

It is our pleasure to introduce our 2019 Corporate Business Plan even more so this year as 2019 marks our 40th year.

First registered in 1979 we all stand together delighted with our many and continuing achievements as we remain the community based resident focused Association as was the motivation 40 years ago.

Growing proactively through building our own and buying existing dwellings that support and maintain our communities, we today are proud at providing good quality affordable homes to over 2,000 residents. What's more, we are pleased that the growth continues, as we currently develop a further 89 new flats/ houses which will provide warm and efficient homes to around 200 more people in our communities.

Less we forget our most valuable resource, our staff… we currently have around 45 people working at the Association, whether delivering our highly regarded frontline services or our invaluable support services. We are thankful for their continued hard work and commitment which has resulted in some exceptional stories and performance, in particularly for those who we are most accountable to, our Residents.

This year we have increased resident and staff engagement, listening to our people's views as they shape our aims and priorities.

Here's to the next 40 years!

CYMDEITHAS TAI
BRO MYRDDIN

1979 Mlwyddiant / Anniversary 2019

BRO MYRDDIN
HOUSING ASSOCIATION

Who we are

We are a charitable not for profit Housing Association based in the market town of Carmarthen.

We are led by a Board of up to 10 members who represent our communities' diversity and have a wealth of experience within and external to the sector, this ensures a balanced mix of skills and diversification is at the core of our leadership and governance.

Our communities are within the South West Wales counties of Carmarthenshire and Pembrokeshire.

Our people include our Residents and Staff;

- **Our Residents include single people and families, young and older people.**
- **Our Staff are committed and motivated, delivering highly regarded housing and support services to our Residents.**

Our homes range from individual flats and houses to sheltered housing schemes and supported living hostels for people with care needs.

Through our annual business planning day(s) that seek and incorporate the views of all our people, our Board set a clear vision and set of values.

Our Mission:

To enrich people's lives by providing good quality and sustainable homes through an organisation that people are proud to be associated with.

We want to make a lasting and positive difference to the lives of all our current and future people.

Our Residents are who we exist for and our Staff are who we are, it is important to us that those two stakeholders are instrumental in shaping the Association and the services it delivers.

Our Values:

Motivated	***We care about what we do and all of our people, we are driven to provide opportunities for positive outcomes.***
Accountable	***We set our destination through dialogue with our people and are honest about the journey towards those ever evolving goals.***
Proactive	***We strive to position ourselves ahead of the curve, seeing ourselves as a customer focused, solutions centred organisation that is innovative in thought.***
Together	***We are united in our common purpose and our want to achieve what we set out to. We work collaboratively as individuals, communities and as a sector.***
Efficient	***We maximise our resources and minimise wasted effort to achieve value for money in all that we do, doing things right first time at the right time.***

Our priorities lie firmly with our core business, we know ourselves and what we do well. Our risk appetite is cautious and we have little desire to diversify away from our core purpose. We are guided by and passionate about doing the right things for the right reasons in the right way delivered at the right time and involving the right people.

Improve our legacy homes

Our kitchen, bathrooms and electrical upgrades are substantially progressed, our primary focus is on heating upgrades as 45% of our homes are reliant on legacy storage heaters.

- ✔ We will upgrade these systems by 2025.
- ✔ We will move our responsive to planned works ratio beyond 40/60 by 2024.

Our homes' average energy efficiency (EPC) scores are 69.3 (flats) and 68.9 (houses) [Wales averages 60].

- ✔ We will achieve an average score on both of 70.0 by 2020 and continue an upward trend thereafter.
- ✔ We will do this by building new highly efficient homes, improving existing homes, primarily through insulation and heating upgrades, and where necessary we will sell inefficient stock.

Our housing stock became fully Welsh Housing Quality Standards (WHQS) compliant in 2017, however we continue to have 365 units that have an Acceptable Fail, whether it be through resident choice, physical constraints or timing of remedy.

- ✔ We will reduce the number of Acceptable Fails by undertaking EPC works on 153 properties.
- ✔ We will install non-slip flooring, upgrade extractor fans at 54 of our homes' kitchens and bathrooms.
- ✔ We will install over bath showers at 127 homes.

Maintain our homes, communities and tenancies

Health and safety of our residents is of paramount importance to us and we will continue to be 100% compliant.

- ✔ **We will continue to devote substantial resources in safeguarding our people's safety, supported by a live compliance reporting system lined to contractors.**
- ✔ **We will make our compliance system accessible worldwide through our staff and board portals.**
- ✔ **We will increase the number of independent deep dive reviews on our Duty of Care responsibilities.**
- ✔ **We will introduce high level independent quarterly compliance reviews that assess for any indications that suggest compliance concerns.**
- ✔ **We will structure our internal audit program in a way that allows for immediate deep dives where necessary.**

Supporting residents to successfully sustain their tenancies is unequivocally linked to our vision; to be there for our people.

- ✔ **We will maintain a high percentage of residents with tenancies over 12 months [90% in March 2019].**
- ✔ **We will continue to invest in our excellent financial inclusion service that supported 21 residents secure over £13.8k of additional income in less than four months.**
- ✔ **We will work in partnership with agencies and make tenancy support referrals where necessary.**

Repairing and upgrading homes whilst the property is empty present's far greater efficiencies, our residents tell us it is less of a burden on them and our staff tell us it is more effective and efficient to manage.

- ✔ **We will reduce the level of responsive repairs by increasing planned works.**
- ✔ **We will maximise income by continuing to reduce void turnaround days across all void categories.**
- ✔ **We will continue to concentrate efforts on managing rent arrears, minimising the impact of UC through financial inclusion and tenancy support.**
- ✔ **We will optimise the balance between rent lost through empty properties and the efficiencies from fully repairing/upgrading empty properties.**

Deliver more social and affordable homes

Bro Myrddin is a developing Housing Association.

- ✔ We will hit our milestone of owning and managing 1,000 homes by 2023.
- ✔ We will provide homes for over 2,200 people.
- ✔ We will maintain a pipeline of new developments, supported by our Local Authority partners through their Planned Delivery Programs.
- ✔ We will take advantage of favourable commercial conditions and land bank where there is known current or future demand.

Over the years our communities have seen younger generations migrate away from the area resulting in an aging population.

- ✔ We will support our Local Authorities strategy in providing more affordable family homes.
- ✔ We will increase the provision of 2 and 4 bed homes (currently 10% of our stock profile).
- ✔ We will seek to increase the number of homes available by us in Pembrokeshire.

Our residents tell us that our rent offers good value for money and are affordable however we want to do more.

- ✔ We will continue to increase the level and channels of resident engagement in particularly surrounding the matter of affordability.
- ✔ We will establish an evidence based rent and service charge policy that sustains long-term affordability.
- ✔ We will do all within our resources to increase our residents satisfaction rating beyond the current upper quartile rate of 87%.

Focus on our people and communities

The way in which people communicate and engage with one another has shifted.

- ✔ **We will increase the number of platforms for residents to engage with us.**
- ✔ **We will exploit latest technological thinking as we establish and deliver our Digital by Design project.**

We are a community based Association and technology will not override our highly regarded face to face engagement and relationships.

- ✔ **We will accelerate our long standing desire for a Neighborhood coaching approach to service delivery. Our service will be proactive not reactive.**
- ✔ **We will look beyond the traditional for service delivery, such as services beyond the usual office hours.**
- ✔ **We will be more prominent throughout our communities delivering a rounded support service keeping ASB at a minimum.**
- ✔ **We will continue to invest in our highly regarded residents forum and scrutiny groups**

Our first Community Benefit's strategy, capturing our long-standing procedures with contractors was established in 2018/19.

- ✔ **We will establish a Community Fund that provides resources to make a positive and lasting difference to our people and communities.**

Our staff are our most valuable asset, good communication and a well-resourced workforce is key to a successful, happy and productive business that delivers its priorities.

- ✔ **We will promote and empower our staff, their success stories, our culture and values.**
- ✔ **We will maintain and encourage more regular two way dialogue as we work together to achieve our vision.**
- ✔ **We will continue to invest in our staffs development and provide them with the right tools that enables them to deliver efficiently and effectively .**
- ✔ **We passionately believe that success lies in having the right people, doing the right thing in the right way for the right reasons at the right time.**

To be a well-run business

Having in place a robust risk management framework is a key component of any well-run business.

- ✔ **We will look to place ourselves ahead of the curve in managing our ever evolving risks.**
- ✔ **We will closely monitor current and emerging risks, establishing three tiers of assurance as necessary.**

Our internal control environment is monitored through our Board Assurance Framework.

- ✔ **We will maintain a set of guiding principles, policies and procedures that supports a robust internal control environment.**
- ✔ **We will maintain an environment that safeguards data validation and accuracy of reporting.**

Our third tier of risk assurance is sourced primarily through our independent Internal Audit providers.

- ✔ **We will provide auditors with full access to all areas of the Association's business.**
- ✔ **We will implement all recommendations within agreed timescales.**
- ✔ **We will continue the envied level of Substantial assurance outcomes.**

A primary concern of ours, is how residents view our services and that they provide value for money.

- ✔ **We will monitor the effectiveness of our services through an all-encompassing three yearly survey, on -going targeted surveys such as repair surveys and by maintaining regular dialogue with residents.**
- ✔ **We will monitor efficiency by understanding our performance against sector colleagues' and monitor trends to evidence continual improvement.**
- ✔ **We will measure our social impact by collating and publishing examples of the lasting positive impact our services are having on our people, their lives and their communities.**

Our values are what drives our behaviours and both are of unequivocal importance to us.

- ✔ **We will revisit our values annually to ensure they remain meaningful and rooted within our culture.**
- ✔ **We will be quick to respond where we fall short of the values and behaviours expected.**

OUR FINANCES

Our financial results speak for themselves. We will continue to maintain healthy free cash returns and operating surpluses to ensure we preserve the highest Financial Viability Judgement rating. We will continue the increased level of testing on our business plan and pre-determine those challenging decisions should the unlikely ever happen, in turn demonstrating how financially robust and viable a business we are. Our Treasury Strategy will be continuously reviewed to exploit our full borrowing capabilities to maximise our aspirations for development and eliminating any constraints we face.

FIVE YEAR I&E FORECAST

	2020	2021	2022	2023	2024
	£000	£000	£000	£000	£000
Net Rental Income	4,436	4,862	5,168	5,396	5,647
Other Income	164	92	93	95	74
	4,601	4,954	5,261	5,491	5,721
Management Costs	(1,900)	(1,923)	(1,958)	(2,001)	(2,079)
Service Costs	(213)	(217)	(222)	(226)	(231)
Maintenance	(789)	(839)	(876)	(904)	(933)
Other Costs	(548)	(502)	(524)	(560)	(594)
	(3,451)	(3,481)	(3,580)	(3,691)	(3,837)
Operating surplus	**1,150**	**1,473**	**1,681**	**1,799**	**1,885**
Net Interest payable	(643)	(776)	(813)	(931)	(1,086)
Retained surplus	**507**	**697**	**868**	**868**	**799**

FIVE YEAR BALANCE SHEET FORECAST

Housing land and buildings - cost	68,566	73,890	78,596	83,397	88,294
Depreciation	(9,688)	(10,460)	(11,291)	(12,185)	(13,142)
	58,878	63,430	67,306	71,213	75,152
Other tangible fixed assets and investments	370	347	354	365	382
Total fixed assets	59,248	63,777	67,660	71,577	75,534
Current assets	6,297	2,981	2,871	2,831	2,790
Current liabilities	(4,091)	(3,381)	(3,387)	(3,393)	(3,333)
Deferred grant income	(28,683)	(30,233)	(31,793)	(33,372)	(34,971)
Other long-term creditors	(1,306)	(1,180)	(1,048)	(911)	(769)
Outstanding loan balance	(22,908)	(22,710)	(24,181)	(25,742)	(27,462)
Net Assets	**8,557**	**9,254**	**10,123**	**10,990**	**11,789**
Total capital and reserves	**8,557**	**9,254**	**10,122**	**10,990**	**11,789**

Lowri Davies

From: [redacted]
Sent: [redacted]
To: [redacted]
Subject: RE: Corporate Plan 2019

Hi [redacted],

Thanks for sending this through. Great to see our comments included within it ☺

[redacted]

From: [redacted]
Sent: [redacted]
To: [redacted]
Subject: Corporate Plan 2019

Hi all

Please see attached the corporate plan for 2019.

I just wanted to take the time to share our gratitude on the time that all staff have taken to help us crate the corporate plan for 2019.

We look forward to working with all of you during the next year.

Many thanks,
[redacted]

BRO MYRDDIN HOUSING ASSOCIATION INTERVIEW REPORT FORM

POST:

DATE OF INTERVIEWS:

PANEL MEMBERS :

APPLICANT'S FULL NAME:

SCORING:
1. DOES NOT REACH STANDARD REQUIRED
2. REQUIRES FURTHER TRAINING
3. MEETS REQUIREMENT OF ROLE
4. EXCEEDS REQUIREMENT OF ROLE

No	Questions **These should be clearly LINKED TO competency requirements/person specification**	Score (1-4)	Comments/evidence
1	Why are you applying for this role?		
2	In order of importance, name 5 core competencies you see as required for the role of a Housing Officer at Bro Myrddin Housing Association?		
3	Resident participation across the housing sector has always been a challenge. How can Bro Myrddin engage better with our residents?		
4	Frontline housing workers are expected to be much more 'commercially minded' in the future than they are now. Why do you think this is?		

5	Under what conditions do you work best and worst?		
6	Resilience is a foundational characteristic of vibrant and healthy communities. As a Housing Officer how could you help to build resilience within our communities?		
7	When was the last time you worked as part of a successful team? What did you do to contribute to it?		
8	What factors should we consider when assessing affordability for rent setting purposes?		
9	Thinking about the values of BMHA, which come most naturally to you and why?		
	TOTAL		
	OTHER COMMENTS **e.g. questions from applicant**		
	DBS Check (if applicable)		
	REFERENCES (clarification if necessary)		
	NOTICE PERIOD		

Performance Management – Witness Testimonies

Line Manager feedback - Received on 14/07/19.

Around every 6 weeks – 8 weeks, my line managers meets with me to go through a set agenda. It is a good way for us to pick up on areas that require a bit of fine tuning and update on whether they continue to be applicable. It not only resolves around my workload but areas within the association that I can contribute towards. Although, I do feel as if I can go up to them at any time to share my concerns on workload or current issues. Most of the time, they can pick up when I'm having a more difficult day. As they are very supportive, I try and do as much as I can to give back and fulfil my role to the utmost ability. Supervisions are held regularly but my main goals are set during appraisals. I like the one page form and how it reflects back on areas of success, but I feel as I need a friendly reminder after a few months to remind myself of my goals and what I need to do to achieve them.

Employee feedback - Received on 17/07/19.

I'm responsible for a lot of aspects within the customer services team from incoming mail, answering phonecalls, raising repair orders to compliance data. I do this on a daily basis and contribute to changes that would allow the process to work better but I'm not always kept informed if these have been agreed or implemented. These are normally suggested to the Executive Management team to agree but the changes don't always work for our processes. In future, it would be nice to participate in consultation meetings and allow us to have the opportunity to share our voices. I do feel disappointed sometimes when I don't feel as if I'm capable of doing my role but it could be the process.