



# BUCKINGHAM TOWN COUNCIL

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Town Clerk: Mr. C. P. Wayman

31 October 2017

Councillor,

You are summoned to a meeting of the **Resources Committee** of Buckingham Town Council to be held on **Monday 6<sup>th</sup> November 2017** at 7pm in the Council Chamber, Cornwalls Meadow, Buckingham.

Mr. C. P. Wayman  
Town Clerk

Please note that the Resources Committee will be preceded by a Public Session in accordance with Standing Order 3.f, which will last for a maximum of 15 minutes.

## AGENDA

### 1. Apologies for Absence

Members are asked to receive apologies from Members.

### 2. Declarations of Interest

To receive declarations of any personal or prejudicial interest under consideration on this agenda in accordance with the Localism Act 2011 Sections 26-34 & Schedule 4.

### 3. Minutes of last meeting

To receive the minutes of the Resources Committee meeting held on Monday 18<sup>th</sup> September 2017 ratified at the Full Council meeting held on 2<sup>nd</sup> October 2017.

### 4. Minutes of CSG Committee

To receive the minutes of the CSG Committee meeting held on 4<sup>th</sup> October 2017.

Previously circulated

### 5. Motion – Cllr. Mark Cole

That this council ends the archaic and costly system of payment by cheque, which incurs extra expense to both the council and the recipient, and makes all future payments by bank transfer. Current cheque signatories would instead sign a bank transfer approval

### 6. Action Report

Appendix A

### 7. Paperless Savings

To receive a written report on the estimated savings (since Jan 2017) of the Paperless trial

R/32/17

Buckingham



Twinned with Mouvaux, France



Members are reminded to declare any prejudicial interest as soon as it becomes apparent.

All Committee documents can be found on the Buckingham Town Council's website. Alternatively, the Clerk send you a copy of any minutes, reports or other information. To do this, send a request using the contact details set out above.

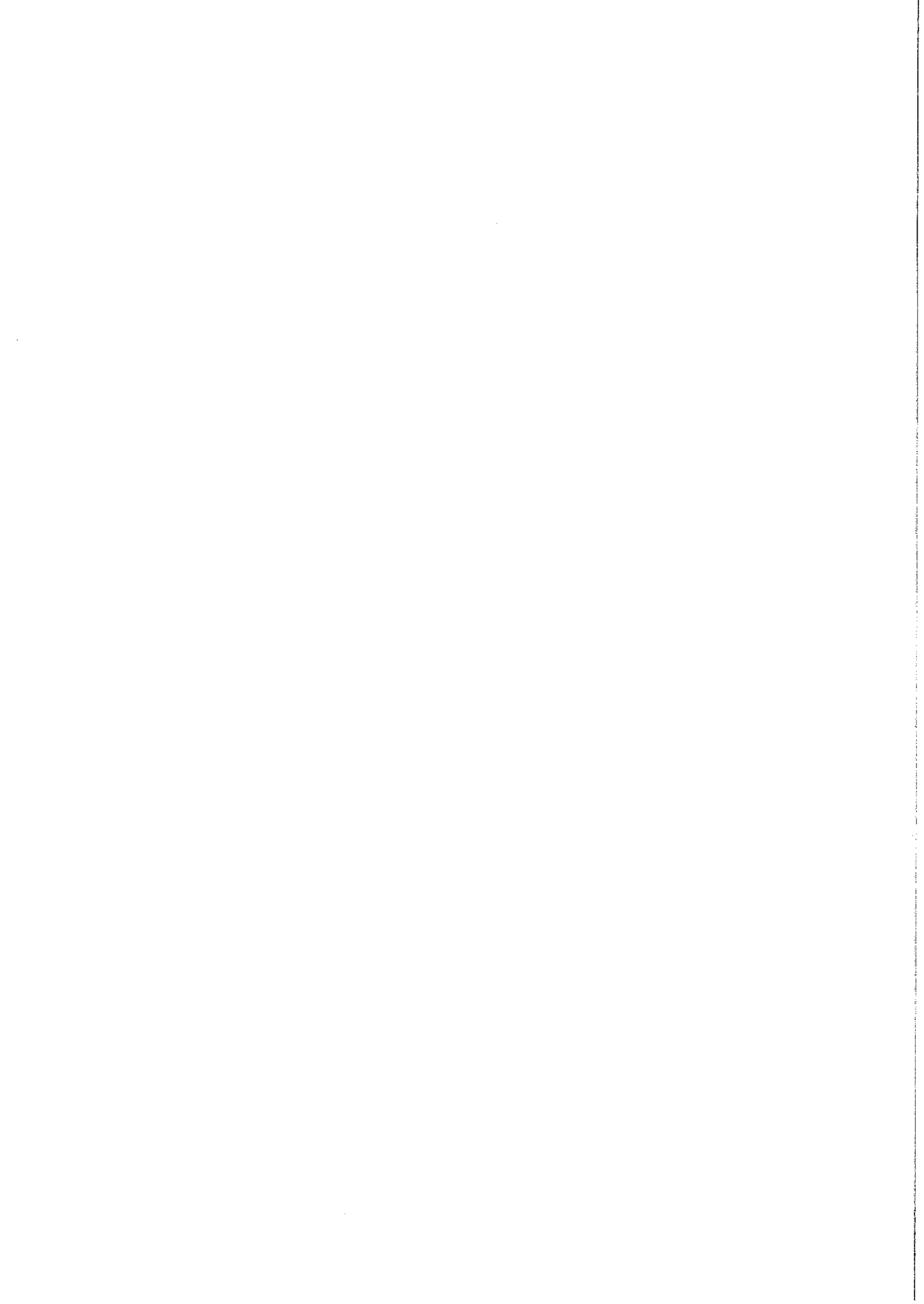
8. **Comedy Night Income & Expenditure Breakdown**  
To receive a written report on the Comedy Night Income & Expenditure R/33/17
9. **Buckingham Town Council Interim Report 2017-18**  
To receive the draft Interim Audit Report for 2017/18. Appendix B
10. **Accounts and Budgets**  
Members are asked to receive and consider the attached Income and Expenditure reports. Appendix C
11. **Invoices passed for payment, and income received**  
Members are asked to receive the attached schedule of invoices paid Appendix D
12. **Human Resources Policies:**
- 12.1. **Sickness Absence Management Policy**  
To receive and agree the updated policy Appendix E
- 12.2. **Capability (Work Performance) Policy**  
To receive and agree the updated policy Appendix F
- 12.3. **Discipline (Misconduct) Policy**  
To receive and agree the updated policy Appendix G
13. **Chairman's Announcements**
14. **Date of next meeting** 2<sup>nd</sup> January 2018
15. **COMMITTEE IN PRIVATE SESSION**
- Exclusion of Public and Press**
- RECOMMENDED** In terms of Schedule 12A, Local Government Act 1972, the following items will be likely to disclose exempt information relating to establishment and contractual matters and it is, therefore, **RECOMMENDED** that pursuant to the provisions of the Public Bodies (Admissions to Meetings) Act 1960 the public and press be excluded.
16. **Administrator Post** R/34/17  
To receive a written report from the Deputy Town Clerk
17. **Caretaker Proposal** R/35/17  
To receive a written report from the Deputy Town Clerk

**To:**

Cllr Ms. J. Bates            Chair  
Cllr. Mrs. G. Collins  
Cllr. P. Collins  
Cllr. J. Harvey            Town Mayor  
Cllr. P. Hirons  
Cllr. D. Isham  
Cllr. A. Mahi

Cllr. H. Mordue  
Cllr. Ms. Newell            Vice Chair  
Cllr. Mrs. O'Donoghue  
Cllr. Mrs. Strain-Clark  
Cllr. R. Stuchbury  
Cllr. M. Try





## BUCKINGHAM TOWN COUNCIL

## Resources

Monday 6<sup>th</sup> November 2017

**Contact Officer:** Claire Childs, Deputy Town Clerk

**Subject:** Paperless Initiative

**Background**

At the Resources Committee meeting of the 18<sup>th</sup> September 2017 it was agreed that an initial estimates of any savings attributed to the Paperless trial would be circulated to Members.

**Cost and Estimated Savings**

It is difficult to put a precise figure on the cost of issuing paper agendas. However, the printing of agendas and accompanying appendices, reports and plans form by far the main portion of the Town Councils paper and printer usage.

- From Jan-17 to Sept-17 the Council's actual spend on paper was £203.60. It is estimated that all of the coloured paper and two thirds of the white paper was used for Committee related purposes, therefore a cost of **£135.30**. This is a **reduction of 38%** based on last year's figures and a saving of **£214.90**.
- In the same timeframe printing (toners and running the machine) cost the Council £713, with a budget for this financial year of £1700. Currently 41.9% of the budget and an approximate saving of **£84.96** to date.
- Postage costs are minimal as employees hand deliver agendas. However, there are fuel costs and Officer time involved in hand delivering each agenda. Since June 2017 the Greenspaces Team have had 38 less journeys delivering agenda to only Members of that particular Committee, saving approximately 1 hour in Green Spaces time per week (delivering agendas)
  - 1 hour x 45 meetings per year (**45 hours per year**)
  - cost of time approximately £10.00 per hour (Equates to **£450.00 per year**)
  - Saving of **£140** from June 17 to date
- Save approximately 1 hours 30 minutes of Committee Clerk's time without printing, stapling and labelling thousands of agenda papers
  - 1 hours 30 minutes x 45 meetings per year (**67.5 hours per year**)
  - cost of time approximately £10.00 per hour (Equates to **£675 per year**)
  - Saving of **£210** from June 17 to date

A conservative estimate of cost savings would be **£649.86** from January 2017 to date. Though the largest benefit is the reduced environmental impact of printing and photocopying significantly less paper; and the redistribution of officer time.

**Recommendation**

That Members continue to support the initiative with the aim of moving towards a more paperless system.

## BUCKINGHAM TOWN COUNCIL

## Resources

Monday 6<sup>th</sup> November 2017

Contact Officer: Amanda Brubaker – Events Co-ordinator

Subject: Comedy Night Income 2017

## Background

**Resources Meeting 18/09/17 Minute No. 391/17 Accounts & Budgets**

Comedy Night – Members requested circulation of the breakdown of income and expenditure from comedy night and the festival fortnight. **ACTION TOWN CLERK**

Below is the Income and Expenditure for this year's Comedy Night which formed part of the Fringe Week. As this comes out of the Buckingham Fringe budget, 505/4219 we are able to spend more on the Comedian.

Comedian	£2,000.00
Hire of The Town Hall	£ 100.00
Door Staff, Town Hall	£ 215.00
Refreshments for the Comedian (Sandwiches & bottles of water)	£ 15.35
Taliesin Musicraft Ltd (stage, Lighting, Sound, Sound Engineer)	£ 200.00

**Expenditure      £2,530.35**

The normal fee for the hire of the Old Town Hall is £500. As you can see from the figures above the Manager of Villier's Hotel gives us a very generous discount. We only pay £100.

Tickets for the event were priced at £15 each. The number of tickets on sale was 200 and these all sold.

Income from ticket sales	£3,000.00
Expenditure	£2,503.35
<b>Profit</b>	<b>£ 469.65</b>

## VAT

In the past VAT has not been included in the ticket price and therefore was not included for this event. Before the tickets went on sale I double checked with the Town Clerk as to whether VAT was to be included and was informed no.

After the event I was informed by the Accounts Officer following an Auditor's visit that VAT should have been added to the ticket price and that it needed to be deducted from the income received for the event.

Ticket price	£15.00
VAT on ticket price	£ 3.00
Tickets sold 200	£3,000.00
VAT from ticket sales	£ 600.00
<b>Income after VAT taken off</b>	<b>£2,400.00</b>

**Due to the VAT there is a loss of £103.35**

### **Recommendation**

Ticket prices will be increased for future events to include VAT.



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# **Buckingham Town Council**

*Internal Audit Report 2017-18 (Interim)*

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*Adrian Shepherd-Roberts*

*Auditing Solutions Ltd*

## **Background**

All town and parish councils are required by statute to make arrangements for an independent internal audit examination of their accounting records and system of internal control and for the conclusions to be reported each year in the Annual Return.

This report sets out the work undertaken in relation to the 2017-18 financial year, during our visit to the Council, which took place on 21<sup>st</sup> September 2017.

## **Internal Audit Approach**

In commencing our review for the year, we have had regard to the materiality of transactions and their susceptibility to potential misrecording or misrepresentation in the year-end Statement of Accounts/Annual Return. Our programme of cover is designed to afford appropriate assurance that the Council's financial systems are robust and operate in a manner to ensure effective probity of transactions and to afford a reasonable probability of identifying any material errors or possible abuse of the Council's own and the national statutory regulatory framework. The programme is also designed to facilitate our completion of the 'Internal Audit Report' in the Council's Annual Return, which requires independent assurance over a number of internal control objectives.

## **Overall Conclusion**

We have concluded that, on the basis of the programme of work we have undertaken to date, the Council has maintained adequate and effective internal control arrangements.

We ask that members consider the content of this report and acknowledge that the report has been reviewed by Council.

We are also pleased to record that, in the areas examined to date, no major issues or concerns have been identified and that we consider the Clerk and his staff operate generally effective control procedures in each of the relevant areas.

## Detailed Report

### Maintenance of Accounting Records & Bank Reconciliations

The Council uses the Omega software to maintain its accounting records, with a single current bank account in place with Lloyds Bank.

Our objective here is to ensure that the accounting records are being maintained accurately and currently and that no anomalous entries appear in cashbooks or financial ledgers. We have consequently: -

- Agreed the opening trial balance detail in the financial software for 2017-18 with the closing detail contained in the 2016-17 Statement of Accounts and Annual Return;
- Ensured that the cost centre and nominal ledger income and expenditure coding structure is appropriate for purpose;
- Checked to ensure that the financial ledger remains “in balance” at the present date;
- Checked and agreed detail in the cashbook, examining two months’ transactions (April and July 2017) to supporting bank statements for the same two months;
- Agreed the bank reconciliation detail at each month-end for the same two months; and
- Noted the back-up procedures for the Council’s PCs.

#### *Conclusions*

*We are pleased to record that no issues have been identified from work completed, to date and will undertake further work in this area at future visits.*

### Review of Corporate Governance

Our objective here is to ensure that the Council has a robust series of corporate governance documentation in place; that Council and Committee meetings are conducted in accordance with the adopted Standing Orders (SOs) and that, as far as we are able to ascertain, no actions of a potentially unlawful nature have been or are being considered for implementation. Consequently:

- We note that the Standing Orders (SOs) and Financial Regulations (FRs) were reviewed, updated and adopted in March 2017; and
- We have commenced our examination of the Council’s minutes, examining those for the Full Council and its Standing Committee meetings held to date in 2017-18 with a view to identifying whether or not any issues exist that may have an adverse effect on the Council’s future financial stability, both in the short and longer term.

#### *Conclusions*

*We are pleased to report that no issues have been identified in this area, to date, warranting further comment. We will continue to review governance issues at future visits.*

## Review of Expenditure and VAT

Our aim here is to ensure that: -

- Council resources are released in accordance with the Council's approved procedures and approved budgets;
- Payments are supported by appropriate documentation, either in the form of an original trade invoice or other appropriate form of document confirming the payment as due and/or an acknowledgement of receipt, where no other form of invoice is available;
- That members are provided with, and approve, the regular schedules of payments made;
- All discounts due on goods and services supplied are identified and appropriate action taken to secure the discount;
- The correct expense codes have been applied to invoices when processed; and
- VAT has been appropriately identified and coded to the control account for periodic recovery.

In order to confirm the effectiveness of the control and governance arrangements over payments, we have selected a sample of 16 individual payments processed to 31<sup>st</sup> July 2017 including those individually in excess of £3,500 together with a more random selection of every 35<sup>th</sup> cashbook transaction irrespective of value. Our test sample totals £239,654 and equates to 68% by value of all non-pay costs for the year to the above date.

We have again reviewed the procedures in place for the approval and release of payments in discussion with the Accounts Assistant noting that invoices processed through the Purchase Ledger in Omega are filed either alphabetically in month order as they are paid or similarly in a separate file as "cashbook" payments, where not processed through the Purchase Ledger.

### *Conclusions*

*No matters arise in this area warranting formal comment or recommendation. We shall extend our review of payments and VAT returns at future visits, also ensuring the accurate disclosure of the year-end VAT debtor in the year's Annual Return.*

## Assessment and Management of Risk

Our aim here is to ensure that the Council has put in place appropriate arrangements to identify all potential areas of risk of both a financial and health and safety nature, whilst also ensuring that appropriate arrangements exist to monitor and manage those risks in order to minimise the opportunity for their coming to fruition.

- We previously examined the Council's approach to the identification, recording and management of financial risks noting that the Council has a detailed set of risk assessment documentation in place, which will again be reviewed by the Council in Jan 2018; and
- The Council's insurance cover is with Zurich plc and we have examined the current year's policy schedule noting that Employer's and Public Liability stand at £10 million and £15 million respectively, with Fidelity Guarantee cover set at £1 million.

### **Conclusions**

*There are no issues arising in this area currently that warrant formal comment or recommendation: we will continue to monitor the Council's approach to risk management at future visits.*

## **Precept Determination and Budgetary Control**

We aim in this area of our work to ensure that the Council has appropriate procedures in place to determine its future financial requirements leading to the adoption of an approved budget and formal determination of the amount of the precept placed on the Billing Authority, that effective arrangements are in place to monitor budgetary performance throughout the financial year and that the Council has identified and retains appropriate reserve funds to meet future spending plans. We are pleased to note that members continue to receive regular budget monitoring reports with over/under-spends and the level of earmarked reserves the subject of regular review.

The Council will commence consideration of the 2018-19 budgetary requirements later this year and we shall consider the action taken and outcomes, together with the approved level of precept at a future visit.

We are pleased to note that members continue to receive regular budget monitoring reports with over/under-spends and the level of earmarked reserves the subject of regular review.

### **Conclusions**

*We have been advised that the Council are to formally consider and finalise its budget and precept requirements for 2018-19 later in the financial year. Consequently, we shall review this area further at our final visit, also examining the year's budget outturn, following up any significant variances and obtaining appropriate explanations: we shall also consider the appropriateness of retained reserves to meet the Council's ongoing revenue spending requirements and any development aspirations.*

## **Review of Income**

The Council receives income in addition to the Precept, primarily from room and sports facility lettings at Lace Hill Community Centre, property rents, burial and associated fees, market rents, roundabout advertising and occasional grants & donations, together with expended VAT, which is recovered quarterly.

Our objective is to ensure that robust procedures are in place to ensure that all income due to the Council is identified and invoiced (where applicable) appropriately with recovery effected within a reasonable time span. We have at this first visit undertaken a degree of detailed work on the Council's income streams.

Specifically, we have examined the procedures for recording and recovery of income in respect of burials, noting that the Council is using the RBS Burials software, whilst also maintaining a formal hand-written Burial Register, observing that the latter has not been updated since March 2017. We also examined the forms already on file relating to a sample of eight burials in 2017.

### **Conclusions**

*We are pleased to report that no significant issues have been identified in the areas reviewed. Further work will be undertaken at future visits.*

## **Petty Cash Account**

We are required, as part of the annual Internal Audit Certification process on the Annual Return, to indicate the soundness of controls in this area of the Council's financial activities and note that there is a petty cash scheme with a holding of £500.

We have reviewed the Petty Cash file at this visit to ensure that the system continues to operate effectively, also checking the physical cash held against the control record maintained. We have however noted that the Financial Regulations reflect a limit of £300 in respect of Petty Cash and the Council should consider either increasing the limit in the Financial Regulations to reflect the operating cash balance held or reduce the value of physical cash held; and

We have also checked a sample of the petrol account forecourt records to ensure that the correct delivery of fuel is registered and charged.

### **Conclusions**

*We have reviewed the account, including operational controls and as noted above advocate Council give consideration to the cash limit or retained cash balance in respect of the Petty Cash account.*

## **Review of Staff Salaries**

In examining the Council's payroll function, we aim to confirm that extant legislation is being appropriately observed as regards adherence to the Employee Rights Act 1998 and the requirements of HM Revenue and Customs (HMRC) legislation as regards the deduction and payment over of income tax and NI contributions, together with meeting the requirements of the local government pension scheme, as last amended from 1<sup>st</sup> April 2015 with regard to employee contribution percentages. We have consequently, by reference to the August 2017 payroll detail:

- Ensured that the Council reviews and approves pay scales for staff annually, noting that the NJC award for 2016-17 has been implemented and that a full staffing review has been completed, the results of which were implemented from April 2017;
- Noted that the processing of the Council's monthly payroll is undertaken "in house" utilising bespoke Sage payroll software;
- Ensured that salary payments have been accurately processed for each employee agreeing gross pay for July 2017 to the Council's approved NJC pay scale spinal point and basic working hours;
- Ensured that Income tax and NI deductions from employees' and employer's NI contributions are calculated accurately for that same month;
- Similarly, ensured that superannuation deductions and employer's contributions have also been calculated appropriately, ensuring compliance with the employees' percentage scale of deductions applying from 1<sup>st</sup> April 2015; and

- Verified the accurate payment of net pay to individual staff members.

### ***Conclusions***

***We are pleased to record that no issues have been identified in this area.***

## **Investments and Loans**

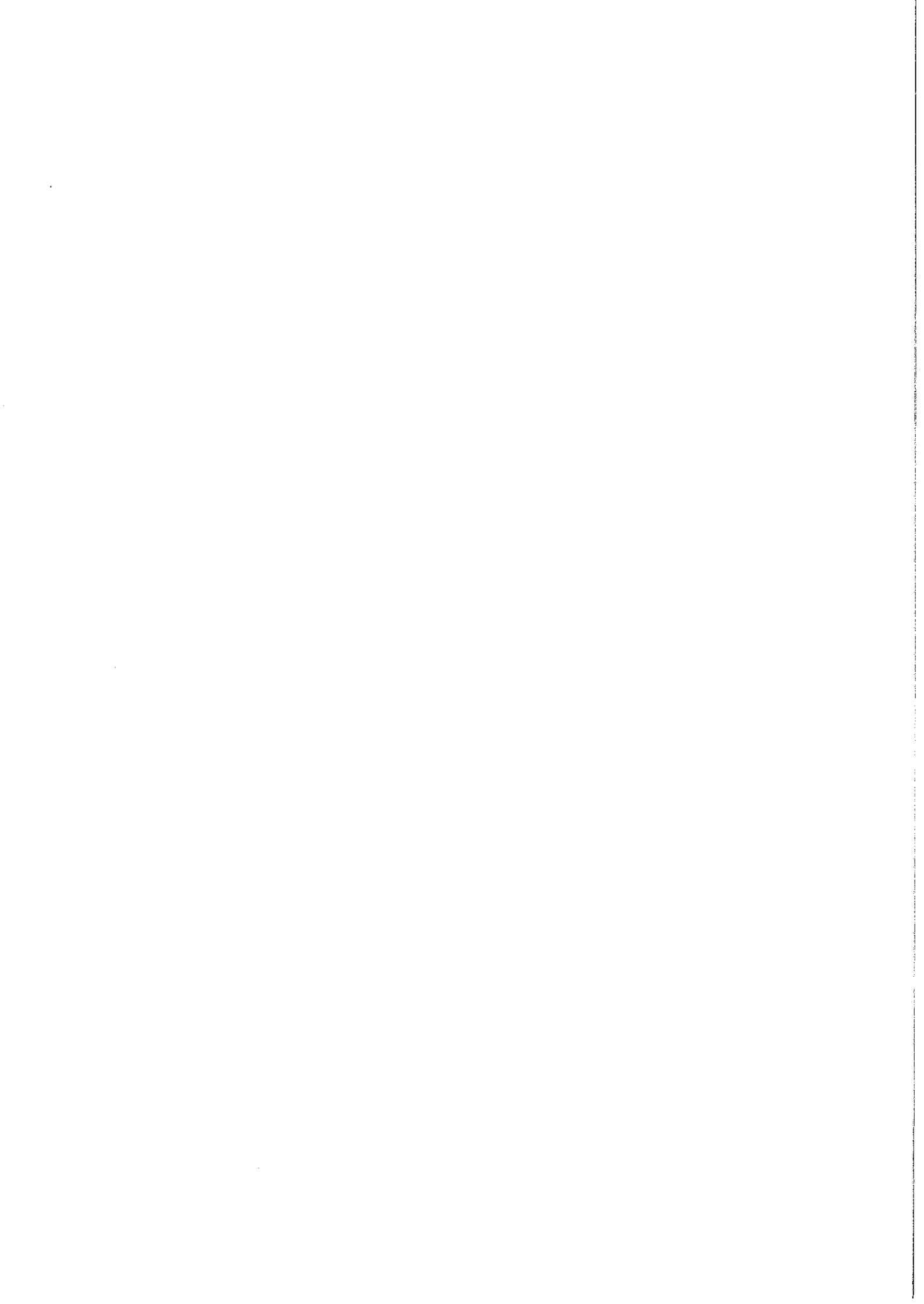
Our objectives here are to ensure that the Council is investing “surplus funds”, be they held temporarily or on a longer term basis, in appropriate banking and investment institutions and that the Council is obtaining the best rate of return on any such investments made, that interest earned is brought to account correctly and appropriately in the accounting records.

The Council has no funds placed in investments currently, all funds being held in the Lloyds current account with no interest being received in the year to date.

We note that the Council currently has one loan repayable to PWLB and have checked the first half-yearly repayment made in 2017-18 by reference to the PWLB repayment demands.

### ***Conclusions***

***No issues have been identified in this area: we will continue to monitor the Council’s policies, procedures regarding investments and will ensure the accurate disclosure of the year-end balances in the Annual Return.***





INCOME AND EXPENDITURE - EXPLANATION OF DIFFERENCES

31/10/2017

PAGE No	CODE	COST CENTRE	EXPLANATION
2	4022	104	Increase in cost after precept as more equipment requiring insurance was purchased
4	4055	248	Overspend due to complexity of alarm system actually required to satisfy insurance company
5	4158	250	Gas costs higher than budgeted, anticipated that by financial year end an overspend of approx £3000 will occur. Estates manager is aware and working with all parties to keep costs to a minimum
6	4602	253	price increases from electricity company
6	4120	255	£1 overspend due to rounding - to be tidied up during audit
7	4609	258	Overspend of £800 due to purchase and installation of new central heating / water boiler
8	4115	301	skip hire cost increase (1st river rinse Unicorn @£180 and 2nd river rinse avdc £240 - as required bigger skip it cost more)
8	4220	301	This budget has an overspend showing. The overspend is correct and was because an extra member of security staff that had not been budgeted for was required to comply with government / security company advice in light of the recent terrorist activity.
8	4243	301	committed expenditure showing slight overspend, may change when actual invoice arrives
10	9033	901	Overspend showing on expenditure code because income is shown separately as per auditors / accounting instructions.

Month No : 7

Committee Report

		Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<b>RESOURCES</b>							
<u>101</u>	<u>PERSONNEL COSTS</u>						
4000	WAGES & SALARIES ADMIN	176,342	79,153	160,500	81,347		81,347
4001	WAGES & SALARIES EXTERNAL	64,458	0	0	0		0
4002	PENSION DEFICIT	10,069	0	0	0		0
4003	APPRENTICESHIP	0	0	6,500	6,500		6,500
4005	ERS NATIONAL INS	19,677	6,535	12,540	6,005		6,005
4006	ERS PENSION CONT	24,797	14,936	24,900	9,964		9,964
4007	STAFF TRAVEL	460	221	500	279		279
4008	OCCUPATIONAL HEALTH	0	0	500	500		500
	PERSONNEL COSTS :- Expenditure	<b>295,802</b>	<b>100,845</b>	<b>205,440</b>	<b>104,595</b>	<b>0</b>	<b>104,595</b>
1001	APPRENTICESHIP GRANT	0	0	2,500	-2,500		0
	PERSONNEL COSTS :- Income	<b>0</b>	<b>0</b>	<b>2,500</b>	<b>-2,500</b>		
	<b>Net Expenditure over Income</b>	<b>295,802</b>	<b>100,845</b>	<b>202,940</b>	<b>102,095</b>		
<u>102</u>	<u>OFFICE EXPENSES</u>						
4010	STATIONERY	1,922	1,391	1,650	259	30	229
4011	POSTAGE	618	177	600	423		423
4012	PHOTOCOPIER	1,972	895	1,700	805		805
4013	EQUIPMENT PURCHASE	180	0	325	325	240	85
4015	ADVERTISMENT	1,830	0	300	300		300
4017	SUBSCRIPTIONS	2,420	1,653	2,800	1,147		1,147
4018	TELEPHONE	8,489	1,961	3,700	1,739		1,739
4019	HIRE OF HALL	81	13	250	237		237
4021	HOSPITALITY	148	66	300	234		234
4023	TRAINING	5,587	4,533	5,000	467		467
4032	PUBLICITY	8,930	3,513	7,300	3,787		3,787
4038	COMPUTER EQUIP/MAINT	3,395	4,127	6,224	2,097		2,097
4041	WEB SITE PROVISION &	1,369	738	1,000	263		263
4043	PROTECTIVE CLOTHING /	420	133	500	367		367
4052	HEAT LIGHT POWER	1,894	73	2,900	2,827		2,827
4055	ALARM	310	0	350	350		350
4156	BUCKINGHAM CENTRE RENT	16,032	5,589	11,000	5,411		5,411
	OFFICE EXPENSES :- Expenditure	<b>55,598</b>	<b>24,860</b>	<b>45,899</b>	<b>21,039</b>	<b>270</b>	<b>20,769</b>
1010	CHAMBER HIRE	1,164	308	1,100	-793		0
1012	PHOTOCOPIER USE	29	8	10	-2		0
	OFFICE EXPENSES :- Income	<b>1,193</b>	<b>316</b>	<b>1,110</b>	<b>-794</b>		
	<b>Net Expenditure over Income</b>	<b>54,405</b>	<b>24,545</b>	<b>44,789</b>	<b>20,244</b>		

	Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<u>103</u> <u>COUNCILLORS</u>						
4020 MAYOR'S DUTIES	1,800	102	1,800	1,698		1,698
4029 MAYOR'S CIVIC	1,200	1,200	1,200	0		0
4044 COUNCILLORS MILEAGE / EXPS	284	54	500	446		446
4045 COUNCILLORS ALLOWANCE	7,308	0	8,282	8,282		8,282
COUNCILLORS :- Expenditure	<u>10,592</u>	<u>1,356</u>	<u>11,782</u>	<u>10,426</u>	<u>0</u>	<u>10,426</u>
<b>Net Expenditure over Income</b>	<u>10,592</u>	<u>1,356</u>	<u>11,782</u>	<u>10,426</u>		
<u>104</u> <u>LEGAL REQUIREMENTS</u>						
4014 AUDIT FEE	3,281	20	3,500	3,480		3,480
4022 INSURANCE	12,526	13,611	13,000	-611		-611
LEGAL REQUIREMENTS :- Expenditure	<u>15,807</u>	<u>13,631</u>	<u>16,500</u>	<u>2,869</u>	<u>0</u>	<u>2,869</u>
<b>Net Expenditure over Income</b>	<u>15,807</u>	<u>13,631</u>	<u>16,500</u>	<u>2,869</u>		
<u>120</u> <u>GRANTS (PREV 137)</u>						
4077 OLD GAOL FUNDING	3,000	2,000	3,000	1,000		1,000
4081 CAB GRANT	0	0	5,000	5,000		5,000
4086 YOUTH CENTRE GRANT	0	5,000	5,000	0		0
4150 FILM PLACE FUNDING	1,250	0	1,250	1,250		1,250
GRANTS (PREV 137) :- Expenditure	<u>4,250</u>	<u>7,000</u>	<u>14,250</u>	<u>7,250</u>	<u>0</u>	<u>7,250</u>
<b>Net Expenditure over Income</b>	<u>4,250</u>	<u>7,000</u>	<u>14,250</u>	<u>7,250</u>		
<u>125</u> <u>COMMEMORATIVE ITEMS</u>						
4501 CIVIC AWARD	0	405	280	-125		-125
4504 REMEMBERANCE WREATH	22	0	25	25		25
4505 MAYORS SALVER	540	180	180	0		0
COMMEMORATIVE ITEMS :- Expenditure	<u>562</u>	<u>585</u>	<u>485</u>	<u>-100</u>	<u>0</u>	<u>-100</u>
<b>Net Expenditure over Income</b>	<u>562</u>	<u>585</u>	<u>485</u>	<u>-100</u>		
<u>130</u> <u>ADMIN RESERVES</u>						
1176 PRECEPT	671,567	739,070	739,070	0		0
ADMIN RESERVES :- Income	<u>671,567</u>	<u>739,070</u>	<u>739,070</u>	<u>0</u>		
<b>Net Expenditure over Income</b>	<u>-671,567</u>	<u>-739,070</u>	<u>-739,070</u>	<u>0</u>		

Month No : 7

Committee Report

	Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<u>131</u> GRANTS						
4084 COMMUNITY CENTRE CAPITAL	3,728	0	5,000	5,000		5,000
4085 COMMUNITY CENTRE	0	50,529	51,400	872		872
4087 OTHER	19,104	11,900	11,900	0		0
GRANTS :- Expenditure	<b>22,832</b>	<b>62,429</b>	<b>68,300</b>	<b>5,872</b>	<b>0</b>	<b>5,872</b>
<b>Net Expenditure over Income</b>	<b>22,832</b>	<b>62,429</b>	<b>68,300</b>	<b>5,872</b>		
<u>132</u> CONTINGENCIES						
4500 CONTINGENCIES	29,476	5,286	9,361	4,075		4,075
CONTINGENCIES :- Expenditure	<b>29,476</b>	<b>5,286</b>	<b>9,361</b>	<b>4,075</b>	<b>0</b>	<b>4,075</b>
<b>Net Expenditure over Income</b>	<b>29,476</b>	<b>5,286</b>	<b>9,361</b>	<b>4,075</b>		
<u>304</u> BUCKINGHAM TOWN YOUTH COUNCIL						
4237 YOUTH COUNCIL BUDGET	0	0	900	900		900
4238 YOUTH COUNCIL ADMIN	0	0	100	100		100
BUCKINGHAM TOWN YOUTH COUNCIL :- Expenditure	<b>0</b>	<b>0</b>	<b>1,000</b>	<b>1,000</b>	<b>0</b>	<b>1,000</b>
<b>Net Expenditure over Income</b>	<b>0</b>	<b>0</b>	<b>1,000</b>	<b>1,000</b>		
RESOURCES :- Expenditure	<b>434,919</b>	<b>215,992</b>	<b>373,017</b>	<b>157,025</b>	<b>270</b>	<b>156,755</b>
Income	<b>672,760</b>	<b>739,386</b>	<b>742,680</b>	<b>-3,294</b>		
<b>Net Expenditure over Income</b>	<b>-237,841</b>	<b>-523,393</b>	<b>-369,663</b>	<b>153,730</b>		

**ENVIRONMENT**

	Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<u>201</u> ENVIRONMENT						
3995 NI ENVIRONMENT	0	5,295	9,460	4,165		4,165
3996 PENSIONERS ENVIRONMENT	0	13,816	18,800	4,984		4,984
4004 WAGES & SALARIES	0	61,956	120,000	58,045		58,045
4068 COMMUNITY SERVICE	6,000	4,560	6,820	2,260		2,260
4101 SEATS AND BINS	0	0	561	561		561
4112 ENVIRONMENT EQUIPMENT	5,565	2,870	6,000	3,130	924	2,206
4118 GREEN WASTE DISPOSAL	371	0	500	500		500
ENVIRONMENT :- Expenditure	<b>11,936</b>	<b>88,497</b>	<b>162,141</b>	<b>73,644</b>	<b>924</b>	<b>72,720</b>
<b>Net Expenditure over Income</b>	<b>11,936</b>	<b>88,497</b>	<b>162,141</b>	<b>73,644</b>		

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## Committee Report

	Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<u>202</u> <u>ROUNDAABOUTS</u>						
4108 ROUNDAABOUT	1,622	3,150	4,590	1,440	1,440	0
ROUNDAABOUTS :- Expenditure	<b>1,622</b>	<b>3,150</b>	<b>4,590</b>	<b>1,440</b>	<b>1,440</b>	<b>0</b>
1051 ROUNDAABOUT NO 1 OPEN	2,024	2,075	2,075	0		0
1052 ROUNDAABOUT NO 2 ELLA	1,079	1,106	1,580	-474		0
1053 ROUNDAABOUT NO 3	1,771	1,815	1,816	-1		0
1054 ROUNDAABOUT NO 4 R & B	2,258	2,314	2,258	56		0
1056 ROUNDAABOUT NO 6 EUROLANE	2,417	2,465	2,478	-13		0
1057 ROUNDAABOUT NO 7 RING ROAD	1,232	1,257	1,264	-7		0
ROUNDAABOUTS :- Income	<b>10,781</b>	<b>11,032</b>	<b>11,471</b>	<b>-439</b>		
<b>Net Expenditure over Income</b>	<b>-9,159</b>	<b>-7,882</b>	<b>-6,881</b>	<b>1,001</b>		
<u>203</u> <u>MAINTENANCE</u>						
4063 VEHICLE HIRE AND RUNNING	6,244	2,843	5,000	2,157		2,157
4082 ALLOTMENTS	1,500	1,500	1,500	0		0
4102 DOG BINS	4,196	0	4,550	4,550		4,550
MAINTENANCE :- Expenditure	<b>11,940</b>	<b>4,343</b>	<b>11,050</b>	<b>6,707</b>	<b>0</b>	<b>6,707</b>
<b>Net Expenditure over Income</b>	<b>11,940</b>	<b>4,343</b>	<b>11,050</b>	<b>6,707</b>		
<u>204</u> <u>DEVOLVED SERVICES EXPENSES</u>						
4124 DEVOLVED SERVICES	19,919	15,800	20,411	4,611	2,700	1,911
DEVOLVED SERVICES EXPENSES :- Expenditure	<b>19,919</b>	<b>15,800</b>	<b>20,411</b>	<b>4,611</b>	<b>2,700</b>	<b>1,911</b>
1017 DEVOLVED SERVICES INCOME	20,353	0	20,500	-20,500		0
DEVOLVED SERVICES EXPENSES :- Income	<b>20,353</b>	<b>0</b>	<b>20,500</b>	<b>-20,500</b>		
<b>Net Expenditure over Income</b>	<b>-433</b>	<b>15,800</b>	<b>-89</b>	<b>-15,889</b>		
<u>248</u> <u>DEPOT</u>						
4013 EQUIPMENT PURCHASE	2,263	0	400	400		400
4055 ALARM	1,420	630	400	-230		-230
4225 RATES	4,398	3,868	4,500	632		632
4601 REPAIRS& MAINTENANCE FUND	6,325	275	1,000	725		725
4602 ELECTRICITY	1,138	429	2,500	2,071		2,071
4603 WATER	113	277	1,500	1,223		1,223
DEPOT :- Expenditure	<b>15,658</b>	<b>5,479</b>	<b>10,300</b>	<b>4,821</b>	<b>0</b>	<b>4,821</b>
<b>Net Expenditure over Income</b>	<b>15,658</b>	<b>5,479</b>	<b>10,300</b>	<b>4,821</b>		

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## Committee Report

		Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<u>249</u>	<u>PUBLIC TOILETS</u>						
4074	TOILET CAPITAL	75,407	159,764	150,815	-8,950		-8,950
4225	RATES	0	0	6,008	6,008		6,008
4602	ELECTRICITY	0	0	1,000	1,000		1,000
4603	WATER	0	0	2,500	2,500		2,500
4608	SHOP MOBILITY	0	668	3,900	3,232	410	2,822
4612	CONTRACTOR CHARGE	0	3,904	10,000	6,096	1,585	4,511
4709	MAINTENANCE	159	1,355	1,000	-355		-355
	PUBLIC TOILETS :- Expenditure	<b>75,566</b>	<b>165,691</b>	<b>175,223</b>	<b>9,532</b>	<b>1,995</b>	<b>7,537</b>
1078	NEW HOMES BONUS	75,407	163,669	150,815	12,854		0
	PUBLIC TOILETS :- Income	<b>75,407</b>	<b>163,669</b>	<b>150,815</b>	<b>12,854</b>		
	<b>Net Expenditure over Income</b>	<b>159</b>	<b>2,022</b>	<b>24,408</b>	<b>22,385</b>		
<u>250</u>	<u>LACE HILL</u>						
4050	LACE HILL PLAYING FIELDS	7,098	10,946	13,000	2,054		2,054
4158	LACE HILL GAS	6,667	3,923	2,500	-1,423		-1,423
4159	LACE HILL ELECTRICITY	3,849	1,793	2,500	707		707
4160	LACE HILL WATER	0	481	2,500	2,019		2,019
4161	LACE HILL REPAIRS & MAINT	6,509	2,628	10,000	7,372	268	7,104
4162	LACE HILL CONTRACTOR	8,485	1,984	10,000	8,016		8,016
4163	LACE HILL ALARM	175	104	500	396		396
4164	LACE HILL EQUIPMENT	15,491	542	9,250	8,708	4,895	3,813
4166	LACE HILL EVENTS	0	180	750	570		570
4225	RATES	9,692	9,087	9,692	605		605
4605	HORTICULTURAL CONTRACT	0	2,064	3,629	1,565	1,565	0
	LACE HILL :- Expenditure	<b>57,966</b>	<b>33,733</b>	<b>64,321</b>	<b>30,588</b>	<b>6,728</b>	<b>23,860</b>
1026	LACE HILL COMMUNITY CENTRE	33,665	20,768	25,000	-4,232		0
	LACE HILL :- Income	<b>33,665</b>	<b>20,768</b>	<b>25,000</b>	<b>-4,232</b>		
	<b>Net Expenditure over Income</b>	<b>24,301</b>	<b>12,964</b>	<b>39,321</b>	<b>26,357</b>		
<u>251</u>	<u>CHANDOS PARK</u>						
4106	PLAY AREA MAINTENANCE	119	89	500	411		411
4601	REPAIRS& MAINTENANCE FUND	4,627	320	3,000	2,680	77	2,603
4602	ELECTRICITY	0	208	500	292		292
4603	WATER	1,246	1,177	1,500	323		323
4605	HORTICULTURAL CONTRACT	2,881	2,824	4,251	1,427	1,427	0
	CHANDOS PARK :- Expenditure	<b>8,874</b>	<b>4,618</b>	<b>9,751</b>	<b>5,133</b>	<b>1,504</b>	<b>3,629</b>

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## Committee Report

		Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
1030	BOWLS INCOME	550	550	550	0		0
1035	TENNIS COURT RENT	625	0	625	-625		0
	CHANDOS PARK :- Income	<b>1,175</b>	<b>550</b>	<b>1,175</b>	<b>-625</b>		
	<b>Net Expenditure over Income</b>	<b>7,699</b>	<b>4,068</b>	<b>8,576</b>	<b>4,508</b>		
<u>252</u>	<u>BOURTON PARK</u>						
4106	PLAY AREA MAINTENANCE	329	401	500	99		99
4122	TREE WORKS	0	400	7,000	6,600		6,600
4601	REPAIRS& MAINTENANCE FUND	6,068	6,397	9,618	3,221		3,221
4605	HORTICULTURAL CONTRACT	9,959	7,386	11,096	3,710	3,710	0
	BOURTON PARK :- Expenditure	<b>16,356</b>	<b>14,584</b>	<b>28,214</b>	<b>13,630</b>	<b>3,710</b>	<b>9,920</b>
	<b>Net Expenditure over Income</b>	<b>16,356</b>	<b>14,584</b>	<b>28,214</b>	<b>13,630</b>		
<u>253</u>	<u>CEMETERY</u>						
4225	RATES	968	106	1,300	1,194		1,194
4601	REPAIRS& MAINTENANCE FUND	2,162	291	3,000	2,709	824	1,885
4602	ELECTRICITY	471	405	400	-5		-5
4605	HORTICULTURAL CONTRACT	6,275	2,894	5,832	2,938	2,938	0
4617	MEMORIAL TESTING	0	0	2,000	2,000		2,000
4620	EXPENSES RE BURIAL DUTIES	8,478	4,325	6,500	2,175		2,175
4621	NEW CEMETERY PLANNING	0	0	20,000	20,000		20,000
	CEMETERY :- Expenditure	<b>18,354</b>	<b>8,021</b>	<b>39,032</b>	<b>31,011</b>	<b>3,762</b>	<b>27,249</b>
1041	BURIAL FEES	17,403	13,684	12,500	1,184		0
	CEMETERY :- Income	<b>17,403</b>	<b>13,684</b>	<b>12,500</b>	<b>1,184</b>		
	<b>Net Expenditure over Income</b>	<b>951</b>	<b>-5,663</b>	<b>26,532</b>	<b>32,195</b>		
<u>254</u>	<u>CHANDOS PARK TOILETS</u>						
4612	CONTRACTOR CHARGE	6,386	6,473	12,500	6,027		6,027
4709	MAINTENANCE	638	329	1,000	671		671
	CHANDOS PARK TOILETS :- Expenditure	<b>7,024</b>	<b>6,802</b>	<b>13,500</b>	<b>6,698</b>	<b>0</b>	<b>6,698</b>
	<b>Net Expenditure over Income</b>	<b>7,024</b>	<b>6,802</b>	<b>13,500</b>	<b>6,698</b>		
<u>255</u>	<u>RAILWAY WALK &amp; CASTLE HILL</u>						
4120	FRIENDS OF GROUPS	663	1,002	1,631	630	630	-1
4122	TREE WORKS	0	0	1,500	1,500		1,500
	RAILWAY WALK & CASTLE HILL :- Expenditure	<b>663</b>	<b>1,002</b>	<b>3,131</b>	<b>2,130</b>	<b>630</b>	<b>1,500</b>
	<b>Net Expenditure over Income</b>	<b>663</b>	<b>1,002</b>	<b>3,131</b>	<b>2,130</b>		

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## Committee Report

		Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<u>256</u>	<u>STORAGE PREMISES</u>						
4066	GRENVILLE GARAGE RENT	599	299	650	351		351
4073	COLLEGE FARM	-1,083	0	0	0		0
	STORAGE PREMISES :- Expenditure	<u>-485</u>	<u>299</u>	<u>650</u>	<u>351</u>	<u>0</u>	<u>351</u>
	<b>Net Expenditure over Income</b>	<u>-485</u>	<u>299</u>	<u>650</u>	<u>351</u>		
<u>257</u>	<u>KEN TAGG PLAYGROUND</u>						
4106	PLAY AREA MAINTENANCE	111	92	100	8		8
4122	TREE WORKS	0	0	500	500		500
4123	PLAYGROUND REFURBISHMENT	1,113	0	0	0		0
4605	HORTICULTURAL CONTRACT	223	313	503	190	190	0
	KEN TAGG PLAYGROUND :- Expenditure	<u>1,447</u>	<u>405</u>	<u>1,103</u>	<u>698</u>	<u>190</u>	<u>508</u>
	<b>Net Expenditure over Income</b>	<u>1,447</u>	<u>405</u>	<u>1,103</u>	<u>698</u>		
<u>258</u>	<u>CEMETERY LODGE</u>						
4034	PWLB REPAYMENTS INCL	4,702	2,351	4,702	2,351		2,351
4609	CEMETERY LODGE MAINT	416	1,800	1,000	-800		-800
	CEMETERY LODGE :- Expenditure	<u>5,118</u>	<u>4,151</u>	<u>5,702</u>	<u>1,551</u>	<u>0</u>	<u>1,551</u>
1061	CEMETERY LODGE RENTAL	8,173	5,808	10,530	-4,722		0
	CEMETERY LODGE :- Income	<u>8,173</u>	<u>5,808</u>	<u>10,530</u>	<u>-4,722</u>		
	<b>Net Expenditure over Income</b>	<u>-3,054</u>	<u>-1,657</u>	<u>-4,828</u>	<u>-3,171</u>		
<u>259</u>	<u>OTTERS BROOK</u>						
4106	PLAY AREA MAINTENANCE	111	303	500	197		197
4122	TREE WORKS	125	0	150	150		150
4605	HORTICULTURAL CONTRACT	898	1,068	1,683	615	615	0
	OTTERS BROOK :- Expenditure	<u>1,134</u>	<u>1,371</u>	<u>2,333</u>	<u>962</u>	<u>615</u>	<u>347</u>
	<b>Net Expenditure over Income</b>	<u>1,134</u>	<u>1,371</u>	<u>2,333</u>	<u>962</u>		
<u>260</u>	<u>CCTV</u>						
4100	CCTV ONGOING COSTS	450	450	800	350		350
	CCTV :- Expenditure	<u>450</u>	<u>450</u>	<u>800</u>	<u>350</u>	<u>0</u>	<u>350</u>
	<b>Net Expenditure over Income</b>	<u>450</u>	<u>450</u>	<u>800</u>	<u>350</u>		
	ENVIRONMENT :- Expenditure	<u>253,542</u>	<u>358,394</u>	<u>552,252</u>	<u>193,857</u>	<u>24,198</u>	<u>169,659</u>
	Income	<u>166,957</u>	<u>215,511</u>	<u>231,991</u>	<u>-16,480</u>		
	<b>Net Expenditure over Income</b>	<u>86,585</u>	<u>142,883</u>	<u>320,261</u>	<u>177,378</u>		

TOWN CENTRE & EVENTS



Month No : 7

## Committee Report

	Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
<b>301</b>	<b>TOWN CENTRE &amp; EVENTS</b>					
4079	FAIR TRADE PROMOTION	192	228	400	172	172
4094	YOUTH PROJECT	2,840	1,560	3,000	1,440	1,440
4104	TOWN IN BLOOM	5,410	3,390	6,300	2,910	2,910
4107	PRIDE OF PLACE	242	250	250	0	0
4115	RIVER RINSE	108	440	400	-40	-40
4165	WINTER HANGING BASKET	669	0	0	0	0
4201	CHRISTMAS LIGHTS	7,997	4,022	10,000	5,978	200
4202	FIREWORK DISPLAY	3,654	0	5,000	5,000	185
4203	COMMUNITY FAIR	307	0	500	500	500
4205	CHRISTMAS PARADE	3,180	0	3,000	3,000	3,000
4208	SPRING FAIR	0	0	500	500	500
4209	TRAFFIC ORDERS FOR EVENTS	0	0	1,100	1,100	850
4210	PANCAKE RACE	104	0	75	75	75
4211	BAND JAM	3,417	3,110	3,500	390	390
4212	CHRISTMAS LIGHT SWITCH ON	640	0	1,300	1,300	1,300
4213	DOG AWARENESS	374	300	300	0	0
4215	EVENTS PA SYSTEM	0	0	200	200	200
4216	MAY DAY EVENT	8	20	50	30	30
4220	MUSIC IN THE MARKET	3,515	3,613	3,500	-113	-113
4228	ENTERTAINMENTS	528	0	0	0	0
4230	SCOUT PARADE	0	46	50	4	4
4241	COMEDY NIGHT EXPENDITURE	1,497	0	3,000	3,000	3,000
4243	CHARTER FAIR EXPENDITURE	1,778	0	3,700	3,700	3,718
	<b>TOWN CENTRE &amp; EVENTS :- Expenditure</b>	<b>36,461</b>	<b>16,979</b>	<b>46,125</b>	<b>29,146</b>	<b>4,953</b>
1013	HANGING BASKETS	323	483	400	83	0
1062	COMMUNITY FAIR - TABLE	180	0	300	-300	0
1066	COMEDY NIGHT INCOME	1,339	0	3,000	-3,000	0
1069	CHARTER FAIR INCOME	6,364	6,400	6,400	0	0
1072	BUCKINGHAM ACTION GROUP	1,250	0	0	0	0
	<b>TOWN CENTRE &amp; EVENTS :- Income</b>	<b>9,456</b>	<b>6,883</b>	<b>10,100</b>	<b>-3,217</b>	
	<b>Net Expenditure over Income</b>	<b>27,005</b>	<b>10,096</b>	<b>36,025</b>	<b>25,929</b>	
<b>302</b>	<b>STREET MARKET</b>					
4017	SUBSCRIPTIONS	318	0	330	330	330
4225	RATES	3,727	2,129	4,000	1,871	1,871
4226	SUPERVISORS	4,718	0	0	0	0
4235	MARKET INFRASTRUCTURE &	2,529	537	2,200	1,663	1,663
	<b>STREET MARKET :- Expenditure</b>	<b>11,292</b>	<b>2,666</b>	<b>6,530</b>	<b>3,864</b>	<b>0</b>

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Committee Report

		Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
1005	STREET MARKET	16,690	7,697	18,000	-10,303		0
1006	FLEA MARKET	3,658	3,970	4,000	-30		0
	STREET MARKET :- Income	<b>20,348</b>	<b>11,667</b>	<b>22,000</b>	<b>-10,333</b>		
	<b>Net Expenditure over Income</b>	<b>-9,056</b>	<b>-9,001</b>	<b>-15,470</b>	<b>-6,469</b>		
<u>303</u>	<u>SPECIAL EVENTS</u>						
4242	FOOD FAIR	343	0	500	500		500
4260	TWINNING	1,000	0	0	0		0
	SPECIAL EVENTS :- Expenditure	<b>1,343</b>	<b>0</b>	<b>500</b>	<b>500</b>	<b>0</b>	<b>500</b>
1020	FOOD FAIR INCOME	625	0	400	-400		0
1034	FESTIVAL OF HEALTH	2,000	753	2,000	-1,247		0
	SPECIAL EVENTS :- Income	<b>2,625</b>	<b>753</b>	<b>2,400</b>	<b>-1,647</b>		
	<b>Net Expenditure over Income</b>	<b>-1,282</b>	<b>-753</b>	<b>-1,900</b>	<b>-1,147</b>		
	TOWN CENTRE & EVENTS :- Expenditure	<b>49,096</b>	<b>19,645</b>	<b>53,155</b>	<b>33,510</b>	<b>4,953</b>	<b>28,557</b>
	Income	<b>32,429</b>	<b>19,304</b>	<b>34,500</b>	<b>-15,196</b>		
	<b>Net Expenditure over Income</b>	<b>16,667</b>	<b>341</b>	<b>18,655</b>	<b>18,314</b>		

**PARTNERSHIPS**

<u>505</u>	<u>AYLESBURY VALE RATE</u>						
4219	BUCKINGHAM FRINGE	4,507	5,613	9,000	3,387		3,387
5001	TIC GRANT	26,000	27,000	27,000	0		0
	AYLESBURY VALE RATE :- Expenditure	<b>30,507</b>	<b>32,613</b>	<b>36,000</b>	<b>3,387</b>	<b>0</b>	<b>3,387</b>
1065	BUCKINGHAM FRINGE INCOME	2,267	3,098	3,000	98		0
1068	COUNCIL TAX TOP UP GRANT	9,065	0	0	0		0
	AYLESBURY VALE RATE :- Income	<b>11,332</b>	<b>3,098</b>	<b>3,000</b>	<b>98</b>		
	<b>Net Expenditure over Income</b>	<b>19,175</b>	<b>29,515</b>	<b>33,000</b>	<b>3,485</b>		
	PARTNERSHIPS :- Expenditure	<b>30,507</b>	<b>32,613</b>	<b>36,000</b>	<b>3,387</b>	<b>0</b>	<b>3,387</b>
	Income	<b>11,332</b>	<b>3,098</b>	<b>3,000</b>	<b>98</b>		
	<b>Net Expenditure over Income</b>	<b>19,175</b>	<b>29,515</b>	<b>33,000</b>	<b>3,485</b>		

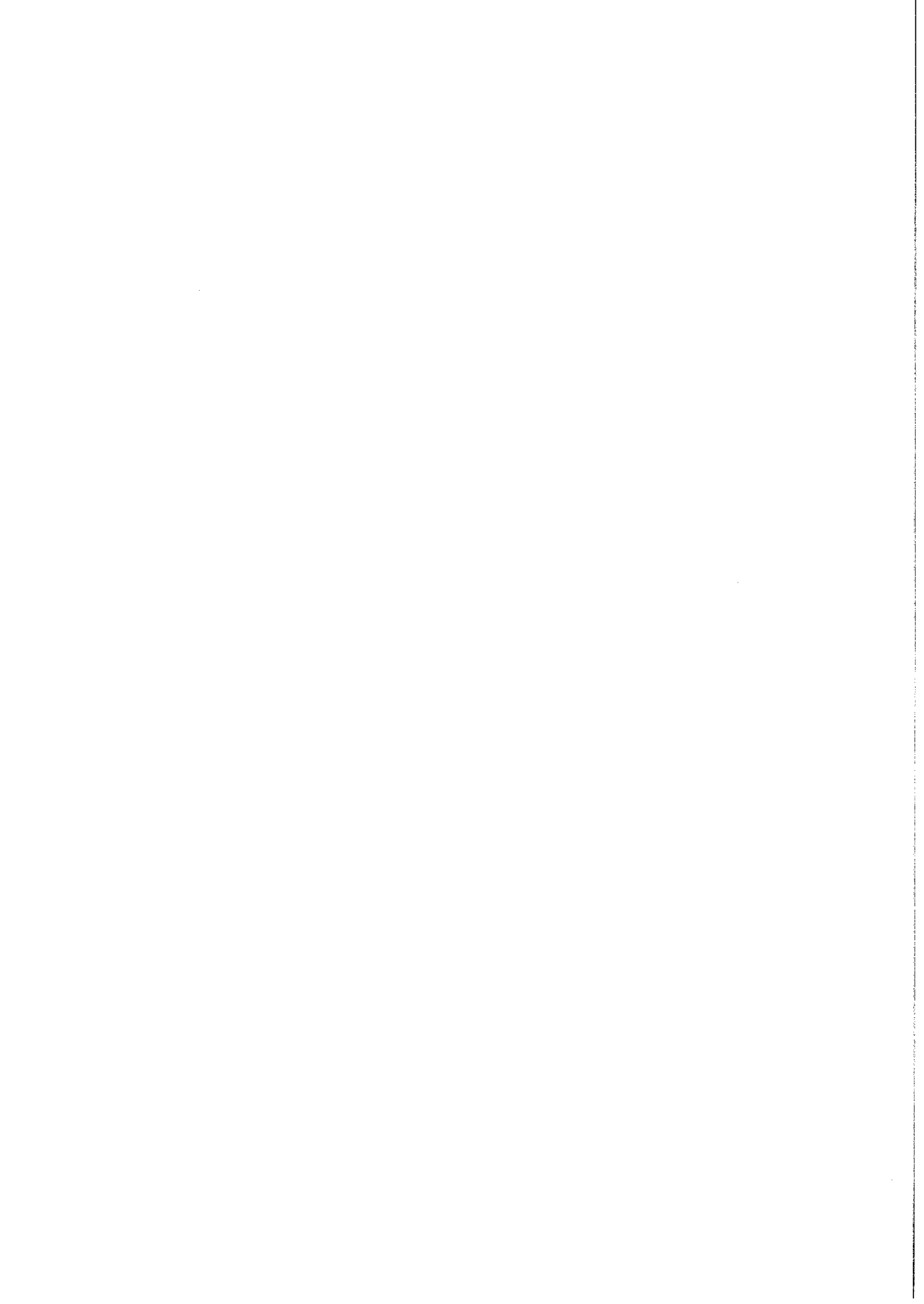
**EARMARKED RESERVES**

<u>901</u>	<u>EARMARKED RESERVES</u>						
9006	SPEED WATCH	0	0	598	598		598

Month No : 7

## Committee Report

		Actual Last Year	Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available
9009	CAPITAL RESERVE	66,453	0	0	0		0
9012	CHRISTMAS LIGHTS	1,285	0	6,753	6,753		6,753
9015	CHARTER FAIRS	803	2,864	7,000	4,136		4,136
9018	REPAIR OF FOOTPATHS	2,966	0	0	0		0
9025	PLAY AREA REPLACEMENT	0	0	17,121	17,121		17,121
9027	GREEN BUCKINGHAM GROUP	0	0	226	226		226
9029	CIRCULAR WALK MAINT	0	0	5,399	5,399		5,399
9030	TOURISM LEAFLETS	0	998	3,402	2,404		2,404
9032	BUCK NEIGHBOURHOOD DEV	1,200	0	0	0		0
9033	DESTINATION BUCKINGHAM	3,601	2,030	1,938	-92		-92
9035	PARKS DEVELOPMENT	35,842	2,100	4,275	2,175		2,175
9036	ELECTION COSTS	0	0	3,188	3,188		3,188
9038	NEW VEHICLE	13,815	0	0	0		0
9039	BARRIERS FOR EVENTS	409	0	0	0		0
9040	PARK RUN	20	43	132	89		89
9042	HOSTING OF TWINNING EVENT	938	0	0	0		0
9045	ACCESS FOR ALL	13	265	485	220		220
9046	PLANNING DISPLAY EQUIPMENT	0	0	5,242	5,242		5,242
9047	FUTURE EVENTS	335	0	0	0		0
9048	BAG FUND	0	-780	1,000	1,780		1,780
	EARMARKED RESERVES :- Expenditure	<b>127,680</b>	<b>7,519</b>	<b>56,759</b>	<b>49,240</b>	<b>0</b>	<b>49,240</b>
1070	DESTINATION BUCKINGHAM	0	20,000	0	20,000		0
	EARMARKED RESERVES :- Income	<b>0</b>	<b>20,000</b>	<b>0</b>	<b>20,000</b>		
	<b>Net Expenditure over Income</b>	<b>127,680</b>	<b>-12,481</b>	<b>56,759</b>	<b>69,240</b>		
	EARMARKED RESERVES :- Expenditure	<b>127,680</b>	<b>7,519</b>	<b>56,759</b>	<b>49,240</b>	<b>0</b>	<b>49,240</b>
	Income	<b>0</b>	<b>20,000</b>	<b>0</b>	<b>20,000</b>		
	<b>Net Expenditure over Income</b>	<b>127,680</b>	<b>-12,481</b>	<b>56,759</b>	<b>69,240</b>		



**Ledger No 1 for Month No 7**

**Supplier A/c Order**

Items marked with a \* are disputed invoices.

Date	Invoice No	Own Ref No	Supplier Account Name	Supplier A/c Code	Net Value	VAT	Invoice	Nominal Ledger Analysis			Analysis Detail
								A/C	Centre	Amount	
05/10/2017	316047		AVDC	A001	2,529.36	505.87	3,035.23	4612	254	2,529.36	7/17-9/17
11/10/2017	313321		AVDC	A001	240.00	48.00	288.00	4115	301	240.00	skip hire
19/10/2017	316048		AVDC	A001	1,225.00	245.00	1,470.00	4612	254	1,225.00	4/17-6/17
01/10/2017	90449223		ANGLIAN WATER	A015	119.60	23.92	143.52	4603	251	119.60	standpipe
01/10/2017	8055885506		ANGLIAN WATER	A015	-2.83	0.00	-2.83	4603	254	-2.83	water
01/10/2017	A5144		AUDITING SOLUTIONS	A029	420.00	84.00	504.00	4014	104	420.00	internal audit 21/9
01/10/2017	T22		BALC	B001	31.85	0.00	31.85	4023	102	31.85	m gateley clr induction train
01/10/2017	SEPTMOB		B.T.	B003	225.50	45.10	270.60	4018	102	225.50	sept mobs
01/10/2017	2207032346		BCC	B017	2,750.00	0.00	2,750.00	4156	102	2,750.00	rent 25/3/16 - 28/9/17
01/10/2017	2017/46/BTC		BLACK DOG DESIGN	B038	155.00	12.00	167.00	4079	301	155.00	fairtrade leaflet x 1000
16/10/2017	2017/54/BTC		BLACK DOG DESIGN	B038	998.00	199.60	1,197.60	9030	901	998.00	welcome packs
01/10/2017	1326		BULLS	B066	207.24	0.00	207.24	4161	250	207.24	moved phone line and added ext
01/10/2017	1004621		DIGITAL BARRIERS	D018	450.00	90.00	540.00	4100	260	450.00	airtime renewal
01/10/2017	H14DF6181F		E-ON	E006	37.78	1.89	39.67	4602	248	37.78	elec unit 12
01/10/2017	H14E0A3B0		E-ON	E006	24.90	1.25	26.15	4602	248	24.90	elec No 17
01/10/2017	H14F260B49		E-ON	E006	318.09	63.62	381.71	4159	250	318.09	elec 1/9-1/10
05/10/2017	H14F72998C		E-ON	E006	513.47	25.67	539.14	4158	250	513.47	gas sept
09/10/2017	H14FB121E6		E-ON	E006	83.24	4.16	87.40	4602	253	83.24	chapel a
09/10/2017	H14FB6EC3		E-ON	E006	27.64	1.38	29.02	4602	253	27.64	chapel b elec
11/10/2017	H14FD54436		E-ON	E006	34.68	1.73	36.41	4602	248	34.68	unit 12
15/10/2017	H1500BCC7		E-ON	E006	23.97	4.79	28.76	4602	248	23.97	unit 17
01/10/2017	15430A		FESTIVE	F009	833.33	166.67	1,000.00	4201	301	833.33	3 yr hire agreement
01/10/2017	51575		FITZ	F014	3,730.50	746.10	4,476.60	4601	252	1,618.00	ladder signs
		10111242						4601	252	2,112.50	ladder signs
01/10/2017	5319		4TH CORNER	F055	7,084.50	1,416.90	8,501.40	4605	253	508.50	maint cont
		10111273						4605	250	729.00	maint cont
		10111273						4605	259	318.00	maint cont
		10111273						4605	257	96.00	maint cont

**Ledger No 1 for Month No 7**  
 Supplier A/c Order

Items marked with a \* are disputed invoices.

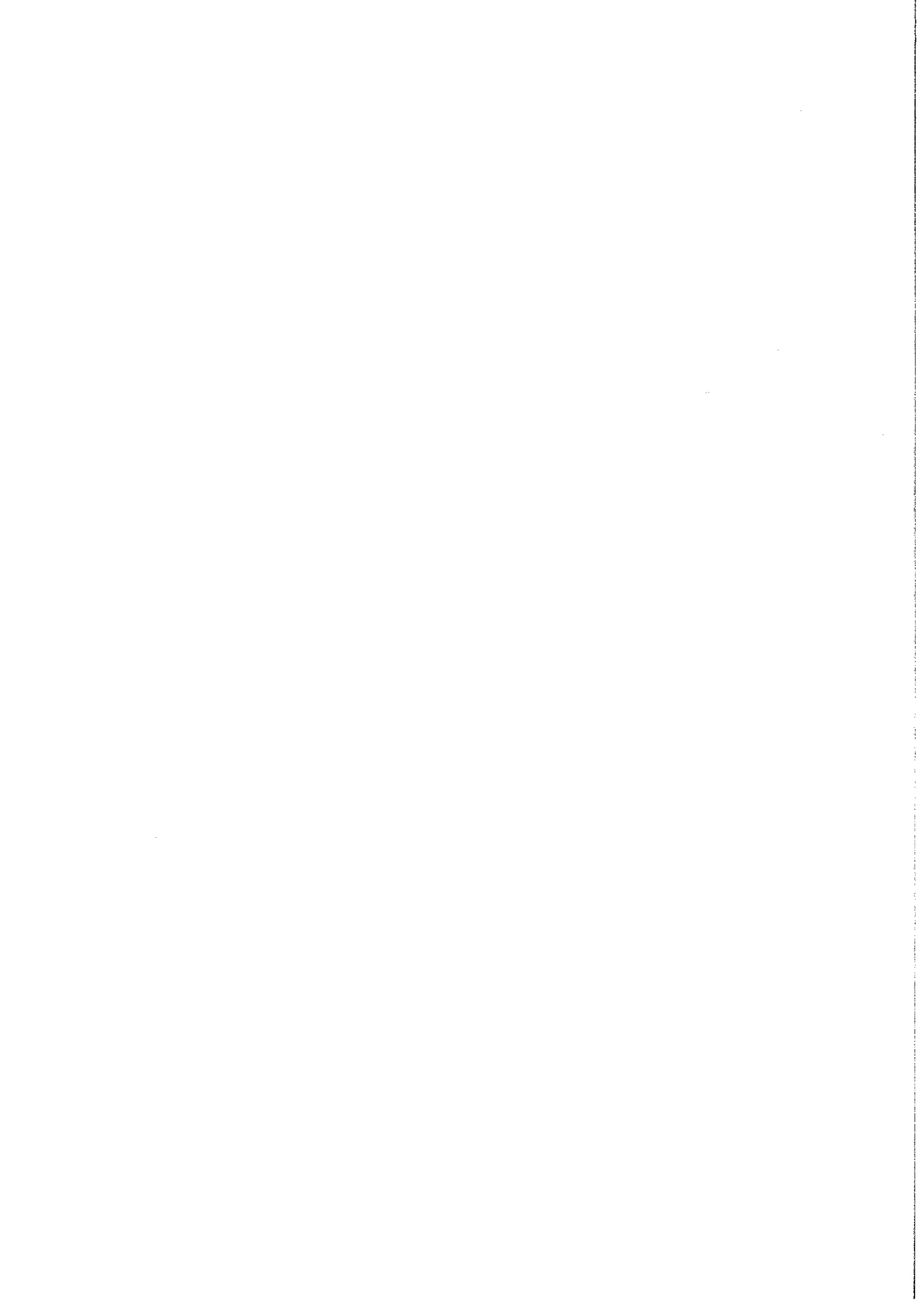
Date	Invoice No	Own Ref No	Supplier Account Name	Supplier A/c Code	Net Value	VAT	Invoice	A/C	Centre	Amount	Analysis Detail
		10111273						4605	251	823.00	maint cont
		10111273						4605	252	1,995.00	maint cont
		10111273						4108	202	960.00	maibt cont
		10111273						4124	204	1,350.00	maint cont
		10111273						4120	255	305.00	maint cont
01/10/2017	11546		GANDERTON	G008	353.48	70.69	424.17	4063	203	353.48	fuels
01/10/2017	230485/201		GRENKE	G011	182.19	36.44	218.63	4012	102	182.19	qtrly fee
01/10/2017	2286110		GRUNDON	G050	64.50	12.90	77.40	4162	250	64.50	wheelie bins
01/10/2017	2286111		GRUNDON	G050	36.90	7.38	44.28	4112	201	36.90	wheelie bins
01/10/2017	16486		HERON	H009	68.20	13.64	81.84	4161	250	68.20	letter O
01/10/2017	7767		HEALTH	H011	870.83	174.17	1,045.00	4709	249	870.83	7/9 - 6/10 maint/cleaning
05/10/2017	86192		JANITORIAL DIRECT	J013	108.04	21.60	129.64	4161	250	108.03	cleaning products
		10111293						4161	250	0.01	cleaning products
01/10/2017	SOT0126		MAZARS	M031	1,600.00	320.00	1,920.00	4014	104	1,600.00	external audit fee 2016/17
01/10/2017	829716		MAINSTREAM	M061	9.03	1.81	10.84	4018	102	9.03	phones
01/10/2017	829717		MAINSTREAM	M061	3.82	0.77	4.59	4018	102	3.82	phones
01/10/2017	10090		MICROSHADE	M063	401.28	80.26	481.54	4038	102	401.28	monthly support cost
21/10/2017	10167		MICROSHADE	M063	403.28	80.66	483.94	4038	102	403.28	oct support
01/10/2017	79582		PARAGON	P008	20.00	4.00	24.00	4112	201	20.00	hi vis
01/10/2017	79646		PARAGON	P008	40.45	8.09	48.54	4620	253	40.45	job beaver hire
01/10/2017	79731		PARAGON	P008	611.00	122.20	733.20	4620	253	611.00	digger hire
01/10/2017	79732		PARAGON	P008	327.60	65.52	393.12	4620	253	327.60	digger hire
01/10/2017	686380		QUEST	Q002	20.32	4.06	24.38	4115	301	20.32	gloves
01/10/2017	688262		QUEST	Q002	15.54	3.11	18.65	4709	254	15.54	sikele gun & sealer
01/10/2017	688618		QUEST	Q002	34.29	6.86	41.15	4112	201	34.29	compactor sacks
12/10/2017	690451		QUEST	Q002	53.85	10.77	64.62	4112	201	53.85	ratchets
06/10/2017	121169		RT MACH	R006	95.00	19.00	114.00	4124	204	95.00	scag v ride hire
17/10/2017	121286		RT MACH	R006	211.29	42.26	253.55	4124	204	211.29	scag v ride
01/10/2017	9302664928		SETON	S025	214.95	42.99	257.94	4112	201	205.58	safety equip

**Supplier A/c Order**

**Ledger No 1 for Month No 7**

Items marked with a \* are disputed invoices.

		Nominal Ledger Analysis										Analysis Detail
Date	Invoice No	Own Ref No	Supplier Account Name	Supplier A/c Code	Net Value	VAT	Invoice	A/C	Centre	Amount		
		10111287										
01/10/2017	9302665715		SETON	S025	9.37	1.87	11.24	4112	201	9.37		safety equip
01/10/2017	9302666434		SETON	S025	-9.37	-1.87	-11.24	4112	201	9.37		absorb granuals
01/10/2017	821795953		SCREWFIX	S044	60.41	2.48	62.89	4112	201	-9.37		absorbant granuals
01/10/2017	1378		SPARKX	S050	775.00	155.00	930.00	4201	301	60.41		waterproof, gloves
01/10/2017	BT-		STEWKLEY	S057	421.88	0.00	421.88	4124	204	775.00		instal sockets
01/10/2017	BT-310817		STEWKLEY	S057	319.76	0.00	319.76	4124	204	421.88		sept
01/10/2017	5026ADP11		TRAVIS	T010	78.37	15.67	94.04	4709	249	319.76		aug
01/10/2017	5026ADP17		TRAVIS	T010	5.47	1.09	6.56	4112	201	78.37		paint
10/10/2017	00214/2017		THAMES VALLEY	T012	1,440.00	288.00	1,728.00	4068	201	5.47		duck tape
07/10/2017	157184550/		TOTAL	T049	102.24	5.11	107.35	4602	254	1,440.00		jul-aug (deducted 3/8)
07/10/2017	157184560/		TOTAL	T049	30.35	1.52	31.87	4052	102	102.24		elec
01/10/2017	TSHED0241		TOOL SHED	T061	1,031.57	206.31	1,237.88	4124	204	30.35		feeder pillar
01/10/2017	366289		VIKING DIRECT	V001	498.00	99.60	597.60	4608	249	1,031.57		sept
01/10/2017	376799		VIKING DIRECT	V001	59.25	11.85	71.10	4010	102	498.00		desk, cabinet
01/10/2017	407104		VIKING DIRECT	V001	59.92	11.98	71.90	4010	102	59.25		stat
10/10/2017	459270		VIKING DIRECT	V001	22.98	4.60	27.58	4010	102	59.92		stat
11/10/2017	468348		VIKING DIRECT	V001	21.98	4.40	26.38	4010	102	22.98		stat
		10111276										
11/10/2017	469901		VIKING DIRECT	V001	10.49	2.10	12.59	4010	102	-0.51		stat
16/10/2017	486189		VIKING DIRECT	V001	70.64	14.13	84.77	4010	102	10.49		stat
16/10/2017	487622		VIKING DIRECT	V001	249.00	49.80	298.80	4010	102	70.64		stat - inc printer
17/10/2017	493823		VIKING DIRECT	V001	97.96	19.59	117.55	4010	102	249.00		cabinet
07/10/2017	735413		WICKSTEED LEISURE	W004	3,780.00	756.00	4,536.00	4106	259	97.96		cabinet and stat
			<b>TOTAL INVOICES</b>		<b>36,941.93</b>	<b>6,486.06</b>	<b>43,427.99</b>			<b>3,780.00</b>		insurance damage
										<b>36,941.93</b>		







**Date Agreed: ####/##/##**  
**Minute Number: ####/##**  
**Prepared by: Claire Childs**  
**Version: 3.0**

This policy applies to employees of Buckingham Town Council ("The Council") and covers:

- Key Principles
- Reporting Absence
- Contractual & Statutory Sick Pay (SSP)
- Gender Reassignment
- Elective Medical Procedures
- IVF Treatment
- Occupational Health
- Return to Work (RTW)
- Absence Monitoring
- Identifying and Discussing Patterns
- Informal Absence Management Procedure
- Selecting the Appropriate Formal Procedure
- Dismissal
- Managing Confidentiality

Sickness absence in employment is defined as personal illness or injury which prevents a staff member from pursuing normal working activities or attendance. Absences can be "long term" due to ill health or intermittent "short term" potentially as a result of an underlying condition, disability or other factors e.g. infection etc.

The Council takes a sympathetic view about genuine ill health problems and will provide a supportive approach to employees in such circumstances.

Sickness absence or ill health related to work, for example as a result of an injury / accident, will be managed in line with this policy. Where appropriate a risk assessment may be undertaken as part of the activity to prevent any continuing risk to the Council's employees or the community.

## **Key Principles**

The principles of this policy are that The Council shall:

- not discriminate against any of the protected characteristics as detailed within the Equality Act 2010
- ensure a fair and reasonable approach to the active management of sickness
- support employees through periods of ill health with the aim of securing their early and sustained return to work
- monitor levels of sickness absence and seek to reduce such absence through early intervention and support
- fully consider and explore possibilities for making reasonable adjustments or redeployment if an employee is unable to continue in their current role provided these meet the needs of the service
- ensure that all reasonable measures are taken to support and retain disabled staff in employment, as part of the Council's commitment to equal opportunities for disabled people
- limit the impact on employees and the Council's activities when such absence does occur



- terminate a contract of employment where an individual becomes incapable of performing the duties due to ill health but *only* where all other possible solutions have been given due consideration

## Reporting Absence

If the employee is unable to attend work due to ill health, including as a result of injury / accident at work, the employee or a nominated party (usually their next of kin) must notify their Line Manager or the Town Clerk (hereafter referred to as “manager”) at the earliest opportunity and no later than 10am on the first day of absence.

During periods of sickness absence, employees will be responsible for keeping in regular contact with their manager and should communicate regularly with their manager on progress or future medical consultations so that up to date information is provided.

The manager should also maintain regular contact, where possible, with the employee in order to reduce feelings of isolation, to keep them up to date with departmental issues (i.e. work developments, changes within a team etc.), where appropriate and to remain informed about the likely duration of the sickness absence and possible support that may be appropriate.

## Long Term Absence

If it becomes clear that an employee's absence may be long-term, the manager will speak to the employee about a referral to Occupational Health for an assessment of the effects of the condition, the likely duration of the illness or condition and whether or not there are any steps that the manager could take to facilitate the employee's return to work.

In the event that The Council believes further medical information is required from an employee's own doctor, specialist or consultant, Occupational Health will be approached in the first instance. The Council is aware that the Access to Medical Reports Act 1988 places certain restrictions on employers that wish to obtain medical information about employees from their own doctor and also gives individuals a range of rights in relation to any such medical report.

## Contractual & Statutory Sick Pay (SSP)

### Contractual Sick Pay

The Council's employment contract provides for contractual sick pay, whereby the employee shall receive their normal salary when absent during illness, as follows:

During 1 <sup>st</sup> year of service	1 month full pay & ( <i>after completing 4 months service</i> ) 2 months half pay
During 2 <sup>nd</sup> year of service	2 months full pay & 2 months half pay
During 3 <sup>rd</sup> Year of service	4 months full pay & 4 months half pay
During 4 <sup>th</sup> & 5 <sup>th</sup> Year of service	5 months full pay & 5 months half pay
After 5 years service	6 months full pay & 6 months half pay

If contractual sick pay is not payable under the terms of the employment contract, then the employee may be entitled to statutory sick pay.



## Statutory Sick Pay (SSP)

Employees need to qualify for statutory sick pay (SSP), and must have been off work sick for 4 or more days in a row (including non-working days), and not be eligible for contractual sick pay. If eligible, an employee will be paid Statutory Sick Pay (SSP) for up to 28 weeks if they are too ill to work.

To qualify for Statutory Sick Pay (SSP) an employee must:

- be classed as an employee and have done some work for The Council
- have been ill for at least 4 days in a row (including non-working days)
- earn at least the minimum required amount\* (before tax) per week (\*current qualifying amount is as specified on <https://www.gov.uk/statutory-sick-pay>)
- Have informed The Council of their absence in accordance with this policy

An employee will not qualify for SSP if they:

- have already received the maximum amount of SSP (28 weeks)
- are getting Statutory Maternity Pay

If an employee is not eligible for SSP, they may be able to apply for Employment and Support Allowance (ESA). More information can be found at: <https://www.gov.uk/employment-support-allowance>

## Gender Reassignment

Under the Equality Act 2010 "gender reassignment" is a personal process, (that is, moving away from a person's birth sex to their affirmed / 'new' gender), rather than a medical process. It may include undergoing the medical gender reassignment treatments, but it does not require someone to undergo medical treatment in order to be protected.

Employees undergoing medical and surgical procedures related to gender reassignment may require time off from work. This policy should be used to manage time off. Where a person needs to take time off work for medical procedures because of gender reassignment, they should not be treated any less favourably than if the absence was due to sickness or injury. Other policies e.g. annual leave / flexible working may also be relevant to consider. The Council will be as flexible as possible to meet reasonable requests for leave or changes in working patterns within the needs of the service.

## Elective Medical Procedures

When an employee wishes to take time off to undergo elective surgery, such as cosmetic surgery, they must discuss the period of absence they are requesting with their Line Manager. The Council will determine on a case by case basis whether contractual sick pay shall be offered; or annual leave or unpaid leave may be agreed for employees.

All employees are entitled to Statutory Sick Pay (SSP) when they are unfit to work as long as they follow the proper procedures and provide the appropriate certification.

Any consequential sick leave following a cosmetic procedure, which is certified by a GP, hospital physician or Occupational Health will be managed under normal sick leave entitlements and payments, provided the employee has followed the requisite notification requirements.



## IVF Treatment

Medical appointments related to IVF will be treated the same as any other medical appointment. Following implantation a pregnancy may or may not occur, but the employee is regarded as being pregnant from the point of the implantation, and is protected under the Equality Act 2010.

The Council will determine on a case by case basis whether contractual sick pay shall be offered for employees undergoing fertility treatment; or whether flexible working arrangements, annual leave, unpaid leave or a combination of paid, unpaid, or annual leave shall be offered during the treatment.

Employees undergoing fertility treatment are not entitled to SSP unless the effects of that treatment (including stress or depression) mean they are unfit for work whereby normal sick leave entitlements and payments shall be given.

## Occupational Health

The Council may refer an employee to an occupational health provider for an occupational health assessment at any point before, during, or after sickness absence.

An Occupational Health Assessment is a medical examination performed by an Occupational Health Physician with an aim of addressing questions raised by The Council. Its primary aim is to advise The Council regarding the employee's health issue and to make recommendations on what adjustments could be considered to ensure a safe and healthy working environment for that employee. It can also be an assessment of somebody's fitness to work.

Each Occupational Health report will be tailored to the employee and situation but it can include advice on the medical condition itself, symptoms, prognosis, likelihood of recovery, what adjustments could be considered, and similar. The aim of the report is to inform The Council and give an expert medical opinion and sufficient information to enable any onward decisions with appropriate knowledge.

## Return to Work (RTW)

A return to work (RTW) interview must be conducted after every period of absence. The RTW is designed to support employees and help to build and maintain a good manager / employee relationship. It is important that managers carry out these discussions in a confidential, supportive and constructive manner. If sickness absence has been longer than seven (7) continuous calendar days (regardless of the number of days due to be worked), the employee may be asked to provide a medical certificate (fit note) signed by a medical professional.

The RTW interview will include a discussion about the employees' absence history, the absence monitoring procedure, any return to work support required including reasonable adjustments, issues that occurred during the absence, any future related absences and actions that may be required in accordance with this policy.

The manager will discuss whether the employee has reached any of the 'trigger points'. Following the discussion, managers may decide to move onto formal procedures, or continue informal monitoring.



### **Fit Note**

A Fit Note (or The Statement for Fitness for Work), is a Medical Statement that GPs issue. The fit note allows GP's to indicate that an employee 'may be fit for work taking account of the following advice....'. This advice may suggest discussing a phased return to work; flexible working; amended duties and / or workplace adaptations. The Council will consider the advice given by GP's on the Fit Note.

### **Reasonable Adjustments**

The Council will be responsible for providing the necessary support and assistance to enable the employee to continue in employment, through the provision of reasonable adjustments, provided these meet the needs of the service. This will be done in consultation with the employee, in line with legal responsibilities.

Where appropriate, a phased return may be agreed to provide a supported transition and re-integration back into the work place after an extended period of sickness absence. The basis and structure of a phased return will be developed in discussion with the employee, taking into account the individual circumstances of the case.

### **Redeployment**

The Council will explore the possibility of redeployment to an alternative role, should Occupational Health advice indicate that it is unlikely that an employee will be able to carry out the particular duties of their current post (with or without reasonable adjustments) within the foreseeable future.

### **Absence Monitoring**

The aim of The Council is to ensure a healthy, productive workforce and not to punish employees for being unwell. The Council takes a sympathetic view about genuine ill health problems and will provide a supportive approach to employees in such circumstances.

Sickness absence will be monitored and calculated on a 12-month rolling basis. Within that period, absences, whether certificated or not, will be monitored against the following trigger points:

- Absence totalling two working weeks (*A week for this purpose is the employees' normal working week, excluding overtime*)
- Four or more absences within a 12-month period
- A recurrent pattern of absence

If absence reaches any of these triggers, a review meeting will be held to discuss if any support is required, or The Council may decide to start the Absence Management Procedure.

### **Additional Monitoring Methods**

The Council will review any pattern of sickness absence on a case by case basis dependant on the individual circumstances of the employee. As no one monitoring tool is entirely accurate, the following methods will also be used as guidance:



'The Bradford Factor' – This is calculated using the  $S^2 \times D = B$  (S is the total number of separate absences by an individual, D is the total number of days of absence of that individual, B is the Bradford Factor score). Guidance suggests the Bradford factor scores should be interpreted as follows:

0 - 45	No Action Required
46 – 100	Start Absence Monitoring
101 – 899	Start Absence Management Procedure
900 +	Consider Dismissal

% Sickness Absence – this is determined by dividing the total absence in days in the chosen period by the total possible working hours or days in that period, then multiplying by 100. Generally anything over 5% is considered to be a high absence rate.

The monetary cost of absence will also be calculated for reporting and monitoring purposes.

## Identifying and Discussing Patterns

An employee's sickness absence record will be reviewed to identify if there are any patterns which cause concern that should be discussed with the employee. This could include repeated absences on a particular day of the week or that tend to occur at a particular time e.g. just before a monthly deadline or towards the end of a busy shift cycle.

## Understanding Possible Causes

It is important to understand there may be a variety of reasons for frequent short-term sickness absences, including:

- An underlying medical condition
- An unusually high, but genuine, vulnerability to colds, flu, etc.
- Excessive tiredness e.g. the employee may have additional responsibilities outside work such as childcare or a second job
- Personal or family problems
- Specific problems in the workplace; and/or
- Demotivation

Discussions between the manager and employee can be important to help determine if there are any contributing factors and what, if any, support can be provided.

## Possible Impact of Workplace Factors

It should also be acknowledged that frequent short-term sickness absences may be caused or exacerbated by factors in the workplace. For example, in addition to genuine periods of sickness, frequent short-term absences may be linked to:

- Stress due to the volume of work or pressure of work deadlines
- Difficult working relationships or conflict with colleagues
- Bullying or harassment
- Anxiety relating to organisational change; and/or



- Other factors causing dissatisfaction e.g. ineffective procedures or equipment, or a lack of clear goals or targets.

Where such issues are identified appropriate support should be considered. This may include mediation, counselling, re-assessing workloads and training etc. If a workplace issue is identified, the manager should take steps to remove or reduce the factors that appear to be contributing to the absences, if this is at all possible.

## Informal Absence Management Procedure

Where a potential cause for concern is identified, The Council will review the sickness absence record of the employee and explore any concerns with them, agreeing any appropriate action or support needed (for example a referral to Occupational Health), and setting review dates.

The Council will document any issues raised and discussed, including any agreed outcomes, support and timescales and retain these securely and confidentially in accordance with the Data Protection principles, as well as confirm in writing to the employee.

The Council may issue a Verbal Warning at this stage. Review meetings, at agreed times, will be scheduled to monitor and review the situation, and assess whether or not attendance has improved to a satisfactory level.

Where expectations or targets have been met no further action will be required, though depending upon the circumstances of the case it may be appropriate to continue to monitor the situation.

If attendance has not reached sufficient sustained improvement The Council may decide to set a further monitoring and review period, depending upon the circumstances of the case, or advance to formal procedures.

## Selecting the Appropriate Formal Procedure

Sickness absence will be managed informally in the first instance. However, if an employee's absence due to sickness is of concern, or informal action has not succeeded in improving attendance to an acceptable level, consideration will be given to whether there are grounds for undertaking formal action.

If there is no acceptable reason, no identified medical underlying cause, or there is reasonable belief that the absence is not genuinely due to ill health, the matter should be treated as a conduct issue and dealt with under the **Discipline (Misconduct) Policy**.

If the absence is due to genuine illness, the issue becomes one of capability and should be dealt with under the **Capability (Work Performance) Policy**.

***The policies detailed above should be referred to for guidance on managing cases, procedural details about the format and conduct of meetings, the decision process, outcomes and appeals.***

The formal process (whether Capability or Discipline) can be applied to either cases of frequent short-term or long-term sickness absence, and generally has three stages.



The point at which a manager decides to move an employee to the next stage of the formal process will vary from case to case, and in some cases it may be appropriate or necessary to proceed directly to Stage 2 or Stage 3.

Factors to take into account will include:

- What the issues causing the absence are
- What affect the absence is having on service delivery and / or colleagues
- What additional support could be given; and/or
- Whether attendance has improved as a result of the informal processes.

At any stage of the formal process, a manager may consider a range of other options including:

- Reverting to an informal approach
- Taking action under an alternative procedure
- Providing appropriate support including a referral to Occupational Health
- Extending an attendance target and/or review period
- By agreement, investigating the possibility of alternative available roles; and/or
- Progressing directly to Formal Stage 3

### **Stage 1 Sickness Absence Meeting**

The purpose of the Stage 1 Meeting will be as follows:

- To review the employee's attendance record during the relevant period, confirming the accuracy of information held
- To give the employee the opportunity to discuss any problems or raise any concerns
- To remind the employee about expectations as to levels of attendance
- To decide whether any further action is required, such as a referral to Occupational Health
- To consider whether any reasonable adjustments may be required
- To set a target for improved attendance and a specified period over which absence levels will be monitored
- To set a review date at the end of the monitoring period
- To issue a Level 1 Improvement Notice (Capability) / First Written Warning (Discipline) to the individual, explaining the further stages of this policy and possible consequences if attendance does not reach a satisfactory level with support
- To inform the employee that if the target set is exceeded, a Stage 2 Sickness Absence Meeting will be held and this may be arranged before the end of the monitoring period

### **Stage 2 Sickness Absence Meeting**

The purpose of the Stage 2 Meeting will be as follows:

- To review the employee's attendance record during the relevant period, confirming the accuracy of information held
- To review the steps which have already been taken to support him/her in achieving the required level of attendance
- To give the employee the opportunity to discuss any problems, raise any concerns or to highlight any mitigating circumstances that they wish to be taken into account
- To decide whether any new information requires a further referral to Occupational Health
- To consider any further reasonable adjustments that may be required





- To set a target for improved attendance and a period over which absence levels will be monitored
- To set a review date at the end of the monitoring period
- To issue a Level 2 Improvement Notice (Capability) / Final Written Warning (Discipline) to the individual; explaining that his/her job may be at risk if their attendance levels do not improve
- To inform the employee that if the target set is exceeded, a Stage 3 Sickness Absence Meeting will be held and this may be arranged before the end of the monitoring period
- *If a Level 2 Notice / Final Written Warning is issued, to provide details of the Appeals Procedure*

### Stage 3 Sickness Absence Meeting

The purpose of the Stage 3 Meeting will be as follows:

- To review the employee's attendance record during the relevant period, confirming the accuracy of information held
- To review the steps already taken to support him/her in achieving the required level of attendance
- To give the employee the opportunity to discuss any problems, raise any concerns or to highlight any mitigating circumstances that they wish to be taken into account
- To discuss any Occupational health advice that has been received previously and how it has been applied e.g. adjustments made
- To decide whether any new information requires a further referral to Occupational Health
- To inform the employee that either;
  - the Level 2 Improvement Notice (Capability) / Final Written Warning (Discipline) will be extended to allow further time for a sustained improvement; or
  - that they will be dismissed either on Capability or Discipline grounds.
- *If the Level 2 Improvement Notice / Final Written Warning is extended; to set a target for improvement, a period over which absence levels will be monitored and a review date*
- *If the employee is to be dismissed; to provide details of the Appeals Procedure*

The option of extending the Level 2 Improvement Notice / Final Written Warning to allow further time for improved attendance should only be considered if some signs of improvement have already been shown and it is expected that allowing further time will lead to an acceptable, sustained improvement in attendance.

If following an extension of the Level 2 Improvement Notice / Final Written Warning and after a period of satisfactory improvement based on the target set, the individual's absence levels deteriorate and a further review is triggered, Stage 3 of the Sickness Absence Policy will be repeated. This may result in a decision to dismiss the employee.

### Dismissal

The dismissal of an employee on the grounds of long-term ill-health (capability) should be a last resort only after all other options have been fully considered and discussed with the employee, and after all possible adjustments have been made to support the employee's continuing employment.

Long-term sickness absence can be a fair reason for dismissal, however The Council must show that the employee's long-term absence was sufficient to justify dismissal and that it acted reasonably in dismissing the employee for this reason.



Before contemplating dismissal, the manager shall consult the Personnel Sub-Committee to review the circumstances to establish whether or not proper grounds for dismissal exist.

## Managing Confidentiality

Any records in relation to an employee's health are confidential and any information that is collected and stored should be held in accordance with the Data Protection Act 1998. The following principles will be followed:

- Only information necessary to the monitoring and management of sickness absence should be sought (e.g. from discussions between the employee and manager or via a management referral to Occupational Health)
- All relevant and necessary information (e.g. RTW Form, records of Absence Review Meetings, management referrals and reports etc.) should be stored securely (e.g. with restricted access), and for no longer than necessary
- Information is shared only with those directly involved in the management of the case, enabling the employee to see information relating to them on request
- It is important to retain a record of all intervention/support and decisions taken to evidence compliance with the Sickness Absence Policy our obligations under the Equality Act 2010.

These principles apply to all personal data, whether it is stored in an electronic or paper format.

*This policy is part of The Councils "Performance, Capability and Conduct" policy group and is designed to work in conjunction with the following policies:*

- *Adoption (or Surrogacy) Leave and Pay*
- *Annual & Other Leave (including Disability Leave)*
- *Capability (Work Performance)*
- *Discipline (Misconduct)*
- *Health and Safety*
- *Flexible Working*
- *Maternity Leave and Pay*
- *Parental*
- *Paternity (or Partner) and Shared Parental Leave and Pay*

	<b>Person/Group responsible</b>	<b>Version</b>	<b>Date completed</b>
Agreed	Finance Administration and Personnel	1.0	08/05/2012
Agreed	Finance Administration and Personnel	2.0	29/10/2013
Report written by	Claire Childs	3.0	04/10/2017
Reviewed by	Christopher Wayman		
Agreed	Resources Committee		



## Capability (Work Performance) Buckingham Town Council Policy

**Date Agreed:** ####/##/##  
**Minute Number:** ####/##  
**Prepared by:** Claire Childs  
**Version:** 2.0

This policy applies to employees of Buckingham Town Council ("The Council") and covers:

- Key principles
- Reviewing Performance
- Managing Underperformance
- Informal Resolution
- Formal Resolutions
- Dismissal
- Appeal
- Other Provisions

Capability relates to matters of work performance. Managing the performance of employees is a continuous process and involves making sure that an employees performance and development contributes to individual and team goals and those of the organisation as a whole. The aim is to continuously improve the performance of individuals and that of the organisation.

The purpose of the capability policy is to provide a transparent process so that if problems arise with an employees work performance, the Council can take a fair and reasonable course of action either informal and / or formal, to resolve issues and aid improvement.

Good performance management helps everyone in The Council to know:

- what the Council is trying to achieve
- their role in helping the Council achieve its goals
- the skills and competencies they need to fulfil their role
- the standards of performance required
- how they can develop their performance and contribute to development of the Council
- how they are doing
- when there are performance problems and what to do about them

Matters relating to misconduct should be dealt with via the Discipline (Misconduct) policy. In some circumstances, the Personnel Sub-Committee may need to determine the most appropriate policy, and where this is the case, this decision will be final.

### Key principles

- Where possible, The Council will resolve minor issues with the employee promptly and informally. Before any formal action is taken, The Personnel Sub-Committee will be consulted
- If personal or domestic problems are revealed, or suspected, as being a contributory factor in performance issues, consideration may be given to changing working arrangements on a temporary or permanent basis to support the employee in bringing their performance back up to the required standard, provided these meet the needs of the service
- Should a disability or medical problem be identified as a contributory factor in the performance issue, the employee may be referred to Occupational Health



- If reasonable adjustments are required then these will be put in place provided these meet the needs of the service; the individual will be supported appropriately and an assessment will be made of the impact of the adjustments, before commencing / recommencing any formal action under this policy

## **Reviewing Performance**

Reviewing performance is a continuous process, and has three main elements:

### **1. Regular informal meetings**

Managers should discuss work as it goes along by discussing at regular informal meetings about how the employee is doing in terms of objectives and competencies, what might be added to the employee's record of achievements, things to think about that might be enhanced further, areas to work on and any concerns about performance. These discussions should also provide the employee with the opportunity to raise any concerns they may have that may be affecting their performance.

### **2. Formal interim reviews**

Employees and line managers will discuss progress against their performance plan, celebrate achievements and offer constructive feedback where more needs to be done. There should be at least one interim review.

### **3. Annual appraisal**

This is where the work of the year is reviewed with input from the employee and feedback is given relating not only to individual performance but also performance and behaviour as part of the team. The annual appraisal shall be conducted by the line manager, as indicated on the organisational chart. The Town Clerk shall be appraised by the Chair of the Resources Committee. At least three objectives for completion within the year will be agreed. Objectives should be relevant to the organisational objectives, and the employee's job description. All agreed objectives will be SMART (specific, measurable, agreed, realistic and timely). During the course of the year the need for new tasks may arise and priorities may change. Any changes should be recorded on the employee's performance record.

## **Behavioural Competencies**

Behavioural competencies are any skills, knowledge, attitudes, abilities or other attributes that a employee needs in order to perform an element of their job effectively. Some of the role specific competencies are set out in the person specification element of the job description.

All employees of The Council are expected to:

- Comply with the Equality Act 2010
- Support organisational activities and goals
- Show respect for others
- Demonstrate interpersonal skills
- Understand others' viewpoints
- Take responsibility for actions
- Communicate courteously and respectfully with colleagues, and
- Accept and provide constructive criticism



Additionally, all managers are expected to encourage all employees to achieve their best, make positive decisions, motivate employees, and aim to achieve a diverse workforce.

## **Managing Underperformance**

Where concerns arise about an employee's competence or performance, these should be raised directly with the employee as soon as is practicable. The purpose of the discussion should be to identify whether there are valid concerns and to identify whether there are any specific problems or underlying causes. The discussion should also explore how any underlying issues can be resolved, including if reasonable adjustments are needed, where applicable.

If there are concerns, the manager should seek to remedy informally first if possible. Where the manager feels an employee could benefit from a more structured process of direction and support, then a formal capability hearing will be arranged.

## **Informal Resolution**

The manager will make and retain notes of any issues raised and discussed informally, and any subsequent review meetings set. The notes should also include any agreed outcomes and support, and any timescales for assessment period. An example action plan is included in Appendix A.

The Council may issue a Verbal Warning at this stage. Review meetings, at agreed times, will be scheduled to monitor and review the situation, and assess whether or not performance has improved to a satisfactory level.

If it has not been possible to remedy the issue informally, or where the issue is sufficiently serious to warrant formal action without initial informal considerations, the employee will be subject to formal proceedings.

## **Formal Resolutions**

### **Notification of a Formal Capability Hearing**

If formal proceedings are to be commenced, the employee will be issued with a notification of a formal capability hearing. The notice will usually be provided no later than seven (7) calendar days in advance of the hearing.

The employee will be advised in writing of the details of the performance concern, the nature of the proposed discussion, and the possible outcomes. This may include written documents and witness statements, depending upon the details of the case.

If the employee requires longer than seven (7) days to consider the evidence, they can request an adjournment, and this will be granted if assessed as reasonable and / or appropriate.

If the employee decides to rely upon any evidence, this should be provided to The Council at least three (3) days in advance of the capability hearing. This may include written documents and witness statements. The employee will have a reasonable opportunity to call relevant witnesses. Witnesses who are to testify to the character of an individual can do so in writing.



## **Accompaniment and Representation**

Employees can be represented at formal meetings by a representative or a work colleague. The employee's representative will be allowed to address the meeting or hearing to put and sum up the employee's case, respond on behalf of the employee to any views expressed at the meeting and confer with the employee during the meeting. The representative does not have the right to answer questions on the employee's behalf, address the meeting if the employee does not wish it or prevent management from explaining their case.

## **The Capability Hearing**

The capability panel membership will consist of a minimum of two members (unless otherwise agreed). The panel may consist of appropriate Council managers and / or nominated representatives of the Personnel Sub-Committee. The panel membership shall be made known to the employee in advance of the hearing, and the employee should raise any concerns with regards to the panel in advance.

At the hearing the Chair should outline to the employee the nature of the performance concern; the standard of performance expected; and what is expected to bring performance back to the required standard. The employee will be given the opportunity to state their case or response to the evidence.

The panel should seek to explore possible reasons for under-performance (the employee will be given every opportunity to put forward their case during the hearing) and any interventions or support which may be needed to enable the individual to remedy the situation. This might include a discussion about the appropriate length of the assessment period and the interval of review meetings during the assessment period. The panel will consider the case and then decide whether or not it is upheld and what the appropriate action should be.

## **Adjournment**

If new facts have emerged or there is any dispute over facts that have not been properly investigated, it may be necessary to adjourn the meeting in order to investigate them and reconvene the meeting at a later date. Any new evidence should be shared with both parties prior to reconvening the meeting. Requests for an adjournment by either side should be made to the manager leading the meeting.

## **Panel Outcome**

The employee will be informed of the outcome in writing within ten working days following the hearing. Where the usual timeframe is not practicable, this will be communicated to the individual, with reasons and an alternative timeframe specified.

Formal remedies/action will be either:

- Level 1 Improvement notice
- Level 2 Improvement notice
- Other Remedy / Action Short of Dismissal
- Dismissal



The normal expectation would be that formal remedies / action will commence at Level 1, however, this will always be subject to the nature of the case and the seriousness of the performance issue. Where formal action is taken, the employee will be advised of the right of appeal.

### **Level 1 Improvement Notice**

A Level 1 Improvement Notice will state the improvement in performance required, targets for improvement, the timescale for improvement ("the review period"), any support to be provided and the consequence of not meeting the performance targets within the review period. It will also set out the employee's right of appeal.

The manager will monitor the employee's performance during the review period and will hold regular review meetings. On completion of the review period the manager will write to the employee to inform them of the outcome.

Sanctions will remain active for a specified period. This will usually be six months for Level 1 but will be determined on a case by case basis. After the specified period, it will remain on file for reference purposes but will be disregarded when making a decision on future proceedings.

It may be necessary to extend the assessment period if the individual requires a slightly longer timescale to fully demonstrate a continuous and sustained improvement in performance. The Council may also consider taking further action prior to the end of the assessment period, if the employee's performance is not likely to meet the targets / expectations during the original period.

The employee will also be informed that further action will be considered if performance is not considered to have sufficiently improved.

### **Level 2 Improvement Notice**

A Level 2 Improvement Notice will explain that the employee's job may be at risk if their performance levels do not improve.

It will state the improvement in performance required, targets for improvement, the timescale for improvement ("the review period"), any support to be provided and the consequence of not meeting the performance targets within the review period. It will also set out the employee's right of appeal.

The manager will monitor the employee's attendance during the review period and will hold regular review meetings. On completion of the review period the manager will write to the employee to inform them of the outcome.

Sanctions will remain active for a specified period. This will usually be one year for Level 2, but will be determined on a case by case basis. After the specified period, it will remain on file for reference purposes but will be disregarded when making a decision on future proceedings.

It may be necessary to extend the assessment period if the individual requires a slightly longer timescale to fully demonstrate a continuous and sustained improvement in performance. The Council may also consider taking further action prior to the end of the assessment period, if the employee's performance is not likely to meet the targets / expectations during the original period.



The employee will also be informed that failure to improve may lead to dismissal (or some other action short of dismissal).

### **Other Remedy / Action Short of Dismissal**

If there is still further failure to improve performance or exceptionally the performance is sufficiently serious to warrant it, dismissal or some other action short of dismissal may be issued. Action short of dismissal may include:

- Demotion
- Change to terms of employment
- Redeployment
- Withholding / loss of pay review and progression for a specified period

If some action short of dismissal is determined the employee will: receive written notification; be warned that dismissal could result if there is no satisfactory improvement; and will be advised of the right of appeal.

In the case of action short of dismissal, a copy of the written details will be kept on the employees record but will be disregarded for capability purposes after a specified period subject to achieving and sustaining satisfactory performance. This period will ordinarily be for a period up to one year. This will be decided at the discretion of the Council or as delegated, to take account of factors such as timescales required to develop reasonable targets and for demonstrating sustained improvements in performance.

### **Dismissal**

In reaching a decision to dismiss careful consideration of other options will be given. If, on balance, other sanctions are deemed inappropriate due to the seriousness of the case, and the employee is to be dismissed, the employee will be provided, in writing, the reasons for dismissal, the date on which the employment will terminate, and the right of appeal and arrangements. The authority to dismiss rests with the Personnel Sub-Committee.

### **Appeal**

The outcome letter sent to the employee will include details of the arrangements to follow should they decide to appeal the decision.

An employee intending to appeal against the decision of a capability hearing must do so within seven (7) calendar days of receipt of the written outcome letter. Should the employee require additional time to submit an appeal, they may make a request to the Council for a reasonable extension.

The request to appeal should be communicated in writing, stating the grounds upon which the appeal is based. Grounds for appeal include:

- the process was not appropriately followed
- there is new evidence relevant to the case which was not previously available
- the hearing outcome is deemed to be disproportionate





The Council will, as far as reasonably practical, seek to hear the appeal within 28 calendar days of receipt of the submitted appeal. The notice will usually be provided no later than 7 calendar days in advance.

The appeal is not a re-hearing of the original hearing, but rather a consideration of the specific area with which the employee is dissatisfied in relation to the original hearing. Therefore, unless the Chair of the appeal determines that new evidence has a bearing on the whole appeal, the panel will confine discussion to those specific area(s) rather than reconsider the whole matter afresh.

The appeal meeting will be chaired by a representative of the Personnel Sub-Committee and an appropriate Council manager will support the meeting. Neither will usually have been previously involved in the case. The Chair will ensure that the number of people present at the appeal is kept to a minimum.

At the appeal meeting the documentary evidence made available at the original hearing will be made available for reference purposes. As the purpose of the appeal is not a reconsideration of all matters, it is the responsibility of the employee to state the case and bring to the attention of the panel all relevant documentary evidence that should be considered.

Based on the appeal case presented and the associated evidence, the appeal panel may either:

- uphold the grounds for appeal
- reject the grounds for appeal, or
- require a rehearing of the whole or part of the case

Where a full or partial rehearing is required, the appeal panel may conduct such a rehearing should the panel deem it appropriate. The employee can request that such a rehearing takes place at a later date.

Witnesses may only be called with the permission of the Appeal Chair. This shall usually only be given where there was good reason for the witnesses not being called to give this evidence at the capability hearing. If the employee requests a witness to be called, they should name the individual and explain the reasons for the request in the grounds for appeal.

The employee will be informed of the appeal outcome in writing, usually within seven (7) calendar days of the appeal meeting. If the timescales are to be longer, this will be communicated to the individual. The Panel's decision is final.

*Note: In the case of a rehearing, an appeal of the rehearing outcome would be permissible.*

## **Other Provisions**

Where an employee seeks to activate a formal procedure, i.e. a grievance or an appeal within another procedure, and the capability procedure is in progress, it may be appropriate to deal with the issues as part of, or concurrently with, this procedure if the raised disputes are related. Alternatively the capability panel may deem it appropriate to temporarily suspend capability proceedings pending the outcome of the other procedural process in order to safeguard the fairness of the process.

Where an employee believes that an aspect of a disability (i.e. hearing difficulties, chronic fatigue etc., or language skills - i.e. English is not their first language) may impact on their ability to participate as appropriate in the procedure, it is the employees responsibility to raise this with The Council as soon as



possible. In such cases the Council may consider providing appropriate reasonable support / adjustments during formal proceedings. Panel members shall be advised of any reasonable adjustments to be made.

This policy is part of The Councils "Performance, Capability and Conduct" policy group and is designed to work in conjunction with the following policies:

- *Adoption (or Surrogacy) Leave and Pay*
- *Annual & Other Leave (including Disability Leave)*
- *Discipline (Misconduct)*
- *Health and Safety*
- *Flexible Working*
- *Maternity Leave and Pay*
- *Parental*
- *Paternity (or Partner) and Shared Parental Leave and Pay*
- *Sickness Absence Management*

	<b>Person/Group responsible</b>	<b>Version</b>	<b>Date completed</b>
Report written by	Anita Simonds	1.0	09/02/2012
Reviewed by	Christopher Wayman		
Agreed	Finance, Administration & Personnel		07/01/2012
Updated by	Claire Childs	2.0	
Reviewed by			
Agreed			



**APPENDIX A**  
**Capability (Work Performance)**  
**Buckingham Town Council Policy**

<b>ACTION PLAN FOR:</b>	
<b>Purpose:</b>	<b>Date:</b>
<b>Evaluation / Measures:</b>	
<b>Prepared by:</b>	<b>1<sup>st</sup> Review Date Due:</b>

Action Required	Resources	Potential Barriers	Action Owner	Timeline	Communications
1.					
2.					
3.					
4.					
5.					



**APPENDIX A**  
**Capability (Work Performance)**  
**Buckingham Town Council Policy**

Action Required	Resources	Potential Barriers	Action Owner	Timeline	Communications
6.					
7.					
8.					
9.					
10.					

<b>Manager Signature:</b>	<b>Date:</b>	<b>Employee Signature (if appl.)</b>	<b>Date:</b>
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<b>Date of Review:</b>	<b>Comments:</b>
<b>Date of Review:</b>	<b>Comments:</b>



## Discipline (Misconduct) Buckingham Town Council Policy

**Date Agreed:** ####/##/##  
**Minute Number:** ###/###  
**Prepared by:** Claire Childs  
**Version:** 2.0

This policy applies to employees of Buckingham Town Council ("The Council") and covers:

- Key principles
- Standards of Behaviour
- Informal Resolution
- Investigation
- Formal Resolutions
- Dismissal
- Misconduct
- Gross Misconduct
- Appeal
- Other Provisions
- Criminal Proceedings

Discipline relates to matters of misconduct. Matters relating to incapability due to ill health, disability or work performance shall be dealt with via the Capability (Work Performance) procedure. The purpose of this policy is to provide a transparent process so that if problems arise with an employees conduct, the Council can take a fair and reasonable course of informal and / or formal action to resolve issues. The procedure is based upon principles of fairness, equality, and reasonableness, as underpinned by legislation.

### Key principles

- Where possible, The Council will resolve minor issues with the employee promptly and informally. The maintenance of standards does not necessarily require formal procedures
- This policy provides a range of options to consider and deal appropriately with conduct issues and to aid improvement
- Before any formal action is taken, The Personnel Sub-Committee will be consulted

### Standards of Behaviour

All employees of The Council are expected to:

- Comply with the Equality Act 2010
- Show respect for others
- Demonstrate interpersonal skills
- Understand others' viewpoints
- Take responsibility for actions
- Communicate courteously and respectfully with colleagues, and
- Accept and provide constructive criticism

Additionally, all managers are expected to encourage all employees to achieve their best, make positive decisions, motivate employees, and aim to achieve a diverse workforce.



## **Informal Resolution**

The Council will seek to resolve minor issues informally and promptly whenever possible. The manager will make and retain notes of any issues raised and discussed informally, and any subsequent review meetings set. The notes should also include any agreed outcomes and support, and any timescales for an assessment period. An example action plan is included in Appendix A.

The Council may issue a Verbal Warning at this stage. Review meetings, at agreed times, will be scheduled to monitor and review the situation, and assess whether or not conduct has improved to a satisfactory level.

If it has not been possible to remedy the issue informally, or where the issue is sufficiently serious to warrant formal action without initial informal considerations, the employee will be subject to formal proceedings.

## **Investigation**

No formal disciplinary hearing will be arranged until the matter has been investigated. Investigations shall be undertaken in an open and transparent manner by an appropriate independent investigator. An employee should be made aware that an investigation will be undertaken, and should be provided with a brief summary of the reasons for this and the practical measures involved. Investigators will not be on the panel but may give evidence.

Investigations should be carried out as quickly as is practicable and without unreasonable delay in order to decide whether there is a case to answer. Unavoidable delays shall be reported on, and wherever possible shall be rectified as soon as possible by steps agreed with all parties.

The investigation process will depend on the nature of the alleged misconduct, the initial evidence against the employee, and whether the individual has admitted the misconduct. In cases where the facts are very clear and not in dispute, the investigation will be very short and it may be appropriate for it to be undertaken by the manager who receives the allegation(s).

If, following investigation, there is found to be a case to answer, informal action may be taken or, where appropriate, a formal disciplinary meeting will be arranged.

## **Suspension**

In some circumstances, the Council may need to suspend an employee from work, on full pay, while matters are investigated. Suspension is a neutral act and not a disciplinary sanction. This would only be upon consultation with a representative of the Personnel Sub-Committee and for as short a period as possible, with regular reviews. Suspension will only be applied in exceptional circumstances. An alternative to suspension, for example, a temporary transfer to alternative duties, should be considered if feasible.



## **Formal Resolutions**

### **Notification of Disciplinary Hearing**

Where there is found to be a formal case to answer, the employee will be invited, in writing, to attend a disciplinary hearing. The notice will usually be provided no later than seven (7) calendar days in advance of the hearing.

The employee will be advised in the letter of the seriousness of the alleged misconduct and possible outcomes.

No less than seven (7) calendar days in advance of the meeting the employee will be provided with all the evidence that will be referred to during proceedings. This may include written documents and witness statements, depending upon the details of the case. The exact material to be provided shall vary according to details of the case.

If the employee requires longer than seven (7) days to consider the evidence, they can request an adjournment, and this will be granted if assessed as reasonable and / or appropriate. Only one adjournment will be allowed.

If upon receipt of all the available documentation the employee accepts the allegation(s) and does not plan to contest the findings, they should advise The Council immediately.

If the employee decides to rely upon any evidence, this should be provided to The Council at least three (3) working days in advance of the disciplinary hearing. This may include written documents and witness statements. The employee will have a reasonable opportunity to call relevant witnesses. Witnesses who are to testify to the character of an employee can do so in writing.

### **Accompaniment and Representation**

Employees can be accompanied at formal meetings by a representative or a work colleague. The employee's representative will be allowed to address the hearing to put and sum up the employee's case, respond on behalf of the employee to any views expressed at the meeting and confer with the employee during the meeting. The representative does not have the right to answer questions on the employee's behalf, address the meeting if the employee does not wish it or prevent management from explaining their case.

### **The Disciplinary Hearing**

The disciplinary panel membership will consist of a minimum of two members (unless otherwise agreed). The panel may consist of appropriate Council managers and / or nominated representatives of the Personnel Sub-Committee. The panel membership shall be made known to the employee in advance of the hearing, and the employee should raise any concerns with regards to the panel composition in advance.

At the hearing the Council representatives will be invited to present the findings of their investigation to the disciplinary panel.



The employee will be invited to either accept or deny the allegation(s). If the employee does not accept the allegation(s) the hearing shall proceed as though the employee denied the allegation. The employee, or their representative, will then be given the opportunity to state their case, including if there are any special circumstances to be taken into account.

At appropriate points in the process, the employee, Council representatives and the panel will have the opportunity to challenge the evidence provided and question any witnesses. Council representatives and the employee may each make a closing statement as to whether the allegation(s) should or should not be upheld.

The disciplinary panel will hear the case and then decide whether it is upheld and what appropriate action should be.

Detailed notes will be taken throughout the hearing, in order to document the proceedings. It may also be requested to will record the hearing proceedings, with the consent of the employee.

### **Adjournment**

If new facts emerge or there is any dispute over facts that have not been properly investigated, it may be necessary to adjourn the meeting in order to investigate them and reconvene the meeting at a later date. Any new evidence should be shared with both parties prior to reconvening the meeting. Requests for an adjournment by either side should be made to the Panel Chair..

### **Panel Outcome**

The employee will be informed of the outcome in writing within ten (10) working days following the hearing. Where the usual timeframe is not practicable, this will be communicated to the employee with reasons and an alternative timeframe specified.

Formal resolutions / action will be either:

- Level 1 Written Warning
- Level 2 Final Warning
- Other Remedy / Action Short of Dismissal
- Dismissal

The normal expectation would be that formal resolutions / action will commence at Level 1, however, this will always be subject to the nature of the case and the seriousness of the misconduct issue. Where formal action is taken, the employee will be advised of the right of appeal.

### **Level 1 Written Warning**

The employee will receive written details of the nature of the misconduct, the change in behaviour required, any support which will be available, the timescale for the warning ("the review period"), and the right and arrangements for appeal. The employee will also be informed that further action will be considered if conduct is not considered to have sufficiently improved.

The Council will monitor the employee's conduct during the review period. On completion of the review period the Council will write to the employee to inform them of the outcome.





A copy of the warning will be kept on the employee's record but will be disregarded for disciplinary purposes after a specified period, subject to achieving and sustaining satisfactory conduct. Sanctions will remain active for a specified period. This will usually be six months for Level 1 but will be determined on a case by case basis. After the specified period, it will remain on file for reference purposes but will be disregarded when making a decision on future proceedings.

It may be necessary to extend the review period, or The Council may also consider taking further action prior to the end of the review period or specified period, if the employee's conduct is not likely to meet the targets or expectations during the original period.

### **Level 2 Final Written Warning**

If the misconduct is sufficiently serious, or if there is further misconduct during an existing warning period, a final warning may be issued.

The employee will receive written details of the nature of the misconduct, the change in behaviour required, any support which will be available, and the timescale for the warning (the "review period"). It will also warn of the consequence of not meeting the targets within the review period, and the employee's right of appeal. The employee will also be informed that failure to improve may lead to dismissal (or some other action short of dismissal).

The Council will monitor the employee's conduct during the review period and may hold regular review meetings. On completion of the review period the manager will write to the employee to inform them of the outcome.

Sanctions will remain active for a specified period. This will usually be one year for Level 2, but will be determined on a case by case basis. After the specified period, it will remain on file for reference purposes but will be disregarded when making a decision on future proceedings.

It may be necessary to extend the review period if the individual requires a slightly longer timescale to fully demonstrate a continuous and sustained improvement in conduct. The Council may also consider taking further action prior to the end of the review or specified period, if the employee's conduct is not likely to meet the targets or expectations during the original period.

### **Other Remedy / Action Short of Dismissal**

If there is still failure to improve conduct to a satisfactory level, or exceptionally the misconduct is sufficiently serious to warrant it, dismissal or some other action short of dismissal may be issued.

Action short of dismissal may include:

- Disciplinary transfer
- Disciplinary demotion
- Disciplinary suspension without pay
- Loss of seniority or loss of incremental progression for a specified period



If some action short of dismissal is determined, the employee will receive written notification of the details, and be warned that dismissal could result if there is no satisfactory improvement. They will also be advised of the right of appeal.

In the case of action short of dismissal, a copy of the written details will be kept on the employee's record but will be disregarded for discipline purposes after a specified period, subject to achieving and sustaining satisfactory conduct. This period will ordinarily be for a period up to one year, but will be decided at the discretion of the Panel, taking into account factors such as timescales required to develop reasonable targets and for demonstrating sustained improvements in conduct.

## **Dismissal**

In reaching a decision to dismiss, careful consideration of other options will always be given. The authority to dismiss rests with the Personnel Sub-Committee.

If, on balance, other sanctions are deemed inappropriate due to the seriousness of the case, and the employee is to be dismissed, the employee will be provided in writing with the reasons for dismissal, the date on which the employment will terminate, and the right of appeal and arrangements.

Unless the employee is being dismissed for reasons of gross misconduct, they will receive the appropriate period of notice or payment in lieu of notice.

## **Summary Dismissal**

In relation to gross misconduct, such behaviour shall usually warrant summary dismissal, which is dismissal without notice or payment in lieu of notice, even in the absence of any prior disciplinary warnings.

## **Misconduct**

The following are examples of misconduct although this is not intended to form an exhaustive list:

- Unauthorised absence
- Failure to comply with reasonable and legitimate instructions
- Failure to comply with health and safety requirements
- Unsatisfactory timekeeping
- Unsatisfactory personal appearance
- Verbal abuse
- Misuse of Council facilities including computer systems (hardware, software, email or internet)
- Conduct detrimentally affected due to alcohol, drug, or substance misuse
- Inappropriate conduct towards colleagues

## **Gross Misconduct**

Gross misconduct may be sufficiently serious to destroy the Council's trust and confidence in the employee, and / or warrant summary dismissal, which is dismissal without notice or payment in lieu of notice, even in the absence of any prior disciplinary warnings.



The following list provides some examples of offences which are usually regarded as gross misconduct although this is not intended to form an exhaustive list:

- Unauthorised possession of goods belonging to the Council, or its employees
- Theft or Fraud
- Deliberate falsification of records
- Corruption or bribery
- Physical violence or bullying
- Serious disorderly conduct
- Serious insubordination
- Dereliction of duty
- Victimisation where this is intentional and of a serious and / or prolonged nature
- Unlawful discrimination and / or serious harassment
- Serious misuse of the Councils property or name, including IT resources such as deliberately accessing internet sites containing pornographic, offensive or obscene material
- Bringing the organisation into disrepute, including both off duty and off site incidents, and including through inappropriate use of social media
- Serious incapability at work brought on by alcohol or abuse of prescription or illegal drugs
- Deliberate and serious damage to property
- Causing loss, damage or injury through serious negligence
- A serious breach of health and safety regulations
- A serious breach of confidentiality

## **Appeal**

If a formal sanction is issued, the outcome letter sent to the employee will include details of the arrangements to follow should they decide to appeal the decision.

An employee intending to appeal against the decision of a disciplinary hearing must do so within seven (7) calendar days of receipt of the written outcome letter. Should the employee require additional time to submit an appeal, they may make a request to the Council for a reasonable extension.

The request to appeal should be communicated in writing, stating the grounds upon which the appeal is based. Grounds for appeal include:

- the process was not appropriately followed
- there is new evidence relevant to the case which was not previously available
- the hearing outcome is deemed to be disproportionate

The Council will, as far as reasonably practicable, seek to hear the appeal within 28 calendar days of receipt of the submitted appeal. The notice of an appeal hearing will usually be provided no later than seven (7) calendar days in advance.

The appeal is not a re-hearing of the original hearing. It will consider the specific area with which the employee is dissatisfied in relation to the original hearing. Unless the Chair of the appeal hearing determines that new evidence has a bearing on the whole appeal, the panel will confine discussion to those specific areas rather than reconsider the whole matter afresh.



The appeal hearing will usually be chaired by a representative of the Personnel Sub-Committee and an appropriate council manager will support the meeting. Neither will usually have been previously involved in the case. The Chair will ensure that the number of people present at the appeal is kept to a minimum.

Where the appeal is against dismissal, the Chair of the Council (The Mayor) will service the Appeal Panel.

At the appeal hearing the documentary evidence made available at the original hearing will be made available for reference purposes. As the purpose of the appeal is not a reconsideration of all matters, it is the responsibility of the employee to state the case and bring to the attention of the panel all relevant documentary evidence that should be considered.

Based on the appeal case presented and the associated evidence, the appeal panel may either:

- uphold the grounds for appeal
- reject the grounds for appeal, or
- require a rehearing of the whole, or part, of the case

Where a full or partial rehearing is required, the appeal panel may conduct such a rehearing should the panel deem it appropriate. The employee can request that such a rehearing takes place at a later date.

Witnesses may only be called with the permission of the Appeal Chair. This shall usually only be given where there was good reason for the witnesses not being called to give this evidence at the disciplinary hearing. If the employee requests a witness to be called, they should name the individual and explain the reasons for the request in the grounds for appeal.

The employee will be informed of the appeal outcome in writing, usually within seven (7) calendar days of the appeal meeting. If the timescales are to be longer, this will be communicated to the individual. The Appeal Panel's decision is final.

*Note: In the case of a rehearing, an appeal of the rehearing outcome would be permissible.*

## **Other Provisions**

Where an employee seeks to activate another formal procedure, (i.e. a grievance or an appeal within another procedure) and the disciplinary procedure is in progress, it may be appropriate to deal with the issues as part of, or concurrently with, this procedure if the raised disputes are related. Alternatively the disciplinary panel may deem it appropriate to temporarily suspend disciplinary proceedings pending the outcome of the other procedural process in order to safeguard the fairness of the process.

Where an employee believes that an aspect of a disability (i.e. hearing difficulties, chronic fatigue etc., or language skills - i.e. English is not their first language) may impact on their ability to participate as appropriate, it is the employees responsibility to raise this with The Council as soon as possible. In such cases the Council may consider providing appropriate reasonable support / adjustments during formal proceedings. Panel members shall be advised of any reasonable adjustments to be made.

## **Criminal Proceedings**

Where employees are charged with, or convicted of, a criminal offence they are required to inform the Council as soon as possible. This shall not be regarded as an automatic reason for disciplinary action.



## Discipline (Misconduct) Buckingham Town Council Policy

Consideration will be given to whether the employees conduct or conviction merits action because of its employment implications.

Factors may include, for example: whether the offence or the type of conduct that it exemplifies makes the individual unsuitable in relation to the type of work they does, or unacceptable to other employees; and the likelihood and potential severity of damage to the Council's reputation.

The facts of the case will be established to determine whether the conduct may warrant formal disciplinary action. Any investigation and subsequent disciplinary action will be separate to any police investigation and judicial process. Whilst this will usually be following the conclusion of any police investigation, the Council may take fair and reasonable action in relation to employment prior to the outcome of legal proceedings, in exceptional circumstances.

This policy is part of The Councils "Performance, Capability and Conduct" policy group and is designed to work in conjunction with the following policies:

- *Adoption (or Surrogacy) Leave and Pay*
- *Annual & Other Leave (including Disability Leave)*
- *Capability (Work Performance)*
- *Health and Safety*
- *Flexible Working*
- *Maternity Leave and Pay*
- *Parental*
- *Paternity (or Partner) and Shared Parental Leave and Pay*
- *Sickness Absence Management*

	<b>Person/Group responsible</b>	<b>Version</b>	<b>Date completed</b>
Report written by	Anita Simonds	1.0	09/02/2012
Reviewed by	Christopher Wayman		
Agreed	Finance, Administration & Personnel		07/01/2012
Updated by	Claire Childs	2.0	
Reviewed by			
Agreed			



**APPENDIX A**  
**Discipline (Misconduct)**  
**Buckingham Town Council Policy**

<b>ACTION PLAN FOR:</b>	
<b>Purpose:</b>	<b>Date:</b>
<b>Evaluation / Measures:</b>	
<b>Prepared by:</b>	<b>1<sup>st</sup> Review Date Due:</b>

<b>Action Required</b>	<b>Resources</b>	<b>Potential Barriers</b>	<b>Action Owner</b>	<b>Timeline</b>	<b>Communications</b>
1.					
2.					
3.					
4.					
5.					



**APPENDIX A  
Discipline (Misconduct)  
Buckingham Town Council Policy**

Action Required	Resources	Potential Barriers	Action Owner	Timeline	Communications
6.					
7.					
8.					
9.					
10.					

<b>Manager Signature:</b>		<b>Date:</b>		<b>Employee Signature (if appl.)</b>		<b>Date:</b>	
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<b>Date of Review:</b>		<b>Comments:</b>	
<b>Date of Review:</b>		<b>Comments:</b>	

