COMMUNITIES AND RESOURCES OVERVIEW AND SCRUTINY COMMITTEE – 3 MARCH 2020

A meeting of the Communities and Resources Overview and Scrutiny Committee will be held at 6pm on Tuesday 3 March 2020 in Committee Room 1, Town Hall, Rugby.

Councillor Tom Mahoney
Chair of Communities and Resources Overview and Scrutiny Committee

A G E N D A

PART 1 – PUBLIC BUSINESS

1. Minutes
To confirm the minutes of the meetings held on 18 November 2019.

2. Apologies
To receive apologies for absence from the meeting.

3. Declarations of Interest
To receive declarations of:

(a) non-pecuniary interests as defined by the Council’s Code of Conduct for Councillors;

(b) pecuniary interests as defined by the Council’s Code of Conduct for Councillors;

(c) notice under Section 106 Local Government Finance Act 1992 – non-payment of Community Charge or Council Tax.

Note: Members are reminded that they should declare the existence and nature of their non-pecuniary interests at the commencement of the meeting (or as soon as the interest becomes apparent). If that interest is a pecuniary interest, the Member must withdraw from the room unless one of the exceptions applies.
Membership of Warwickshire County Council or any Parish Council is classed as a non-pecuniary interest under the Code of Conduct. A Member does not need to declare this interest unless the Member chooses to speak on a matter relating to their membership. If the Member does not wish to speak on the matter, the Member may still vote on the matter without making a declaration.

4. Finance and Performance Monitoring 2019/20 Quarter 3 – please refer to report from Cabinet 3 February 2020 and RPMS

5. Communities and Homes – Working in Partnership with the Voluntary and Community Sector

6. Employee Wellbeing Update

7. Overview and Scrutiny Work Programme 2019/20

Any additional papers for this meeting can be accessed via the website.

Membership of the Committee:
Councillors Mahoney (Chair), Mrs A’Barrow, Mrs Allanach, Mrs Brown, Cade, Douglas, Eccleson, Leigh Hunt and Keeling

If you have any general queries with regard to this agenda please contact Veronika Beckova, Democratic Services Officer on 01788 533591 or email veronika.beckova@rugby.gov.uk. Any specific queries concerning reports should be directed to the listed contact officer.

If you wish to attend the meeting and have any special requirements for access please contact the Democratic Services Officer named above.
**Report Title:** Communities and Homes - Working in Partnership with the Voluntary and Community Sector

**Name of Committee:** Communities and Resources Scrutiny Committee

**Date of Meeting:** 3 March 2020

**Contact Officer:** Michelle Dickson, Communities and Projects Manager, 01788 533843 or michelle.dickson@rugby.gov.uk

**Summary:** The Communities and Homes Service works in partnership with the voluntary and community sector (VCS) both formally and informally. This report provides a summary of the works undertaken, the outcomes achieved and examples of the added value of this partnership working.

There are no financial implications arising from this report.

**Financial Implications:**

Where there is a financial arrangement between the council and the voluntary and community sector, processes are in place to monitor progress and evaluate outcomes. Examples of financial arrangements are contracts, service level agreements and grants.

**Environmental Implications:** There are none

**Legal Implications:** Contracts are currently in place with the CAB and WCAVA whilst there are service level agreements in place with the community associations and the Foodbank. Organisations in receipt of grant funding sign up to accept conditions attached to their grant. Organisations participating in the Lotto must adhere to eligibility criteria.

**Equality and Diversity:** The organisations that the Council work with/support benefit residents from a variety of backgrounds.
Summary
The Communities and Homes Service works in partnership with the voluntary and community sector (VCS) both formally and informally. This report provides a summary of the works undertaken, the outcomes achieved and examples of the added value of this partnership working.

1.0 Introduction
This report focuses on partnership working between the Communities and Homes Service and the voluntary and community sector, including:

- the current arrangements in place for the service to support the voluntary and community sector
- how the service monitors the outcomes from these arrangements
- how the service contributes in wider partnership working with the voluntary and community sector
- examples of the wider benefits of partnership working

The VCS is a valuable resource in terms of the support it provides to the people of Rugby. By working together to understand the issues faced by our communities and the resources potentially available to support them, we are in a better position to deliver positive outcomes, and to align the allocation of resources to where they are most needed and most impactful.

2.0 The arrangements in place for the service to support the voluntary and community sector

The Community and Homes Service supports the voluntary and community sector via:

1. The procurement and management of two formal contracts – Advice Services (currently delivered by the CAB at a cost of £73,500 per year) and Community Infrastructure Advice services (currently delivered by Warwickshire CAVA at a cost of £30,000 per year). Both contracts run to April 2020 and are in the
process of being retendered (agreed by Cabinet and subsequently Council in November 2019)

An overview of the performance of these contracts for 2018/19 is provided in sections 3.0 and 4.0 of this report. The data for 2019/20 will not be available in full until April 2020.

2. Management of service level agreements (SLA’s), each of which is £7,500 per annum, with Community Associations – Overslade; New Bilton; the Benn Partnership; Brownsover and the Newbold Community Partnership. In November 2019 Council agreed that these, along with an additional SLA to be established with the Long Lawford Community Association and continuing the current SLA with the Rugby Foodbank (currently £2,500 per annum), be continued into 2020/21 – subject to budget setting.

The service level agreements are monitored and managed by officers in the Communities and Projects Team who have regular quarterly meetings with the community associations. These meetings identify opportunities for:

- better understanding our communities and the issues that affect our residents
- identifying additional potential collaborative working – both with the council and the wider VCS
- understanding any barriers/risks that the community associations may be facing in achieving their objectives
- potential opportunities for additional working with other VCS organisations

In the case of the Benn Partnership and the Brownsover Community Association, these regular meetings also cover issues relating to the Brownsover Community Association and Oasis buildings. These arrangements are another example of the council supporting the work of the VCS as the buildings are leased from the Council on a peppercorn rent, whilst the community association retain any income derived from room bookings etc. which helps with the revenue costs of running the facilities.

3. The service also oversees and administers the Council’s Community Grants programme totalling £63,410 for 2019/20. Cabinet has agreed that the underspend of £17,581.70 arising for 2019/20 be added to the available balances for 2020/21, as part of the budget setting process.

The Community Grants are annual grants for the voluntary and community sector to apply to for the delivery of projects (not core running costs). The eligibility criteria is confirmed in the comprehensive grants guidance notes for 2020/21 (see Appendix 1).

Follow ups are carried out with the resulting grant beneficiaries, by officers of the Communities and Projects Team, to ensure that the resulting grants have been spent in the appropriate manner and to evaluate outcomes. This data is collated into a report for the Grants working Party so that Members can get a
sense of the added value of the allocation of grants. The 2018/19 report is attached (see Appendix 2) whilst the 2019/20 version is still in progress as beneficiaries have not all delivered their projects yet. This is because they have 12 months to do so from June 2019 when they were notified that their grant application was successful.

4. The Rugby Lotto, launched in May 2019, provides the voluntary and community sector with the opportunity to raise funds to achieve their objectives. The funding they raise is more flexible than going via the grants route, as it can be used to support core running costs, and projects.

The eligibility criteria for joining the Lotto is provided as Appendix 3, and a list of organisations currently signed up to the Lotto is provided as Appendix 4. The scheme is currently generating approximately £34,500 in revenue for the sector in Rugby. However, this figure will fluctuate in accordance with the ticket sales achieved.

The Lotto being a source of income for core running costs is really valued by organisations as this is something that many find to be a challenge. Nearly all funding available, both locally and nationally, is ring-fenced to the delivery of specific projects so this is a valuable opportunity. What is interesting is that when reviewing the organisations that have signed up for the Lotto, many of them are ones that the Council has not previously had a relationship with.

The cost of running the Lotto is limited to the renewal of the annual Gambling Commission Licence, membership of the Lotteries Council and the occasional bolt-on prize as a marketing tool. Officers assess the eligibility of organisations to join the Lotto but this is not onerous.

3.0 CAB 2018/19

Quarterly contract monitoring meetings between the service and the CAB mean that officers have been better able to understand the issues being faced by residents. The way that the data is collected by the CAB is at ward level so variances in what issues are raised and in what areas can readily be identified.

Specific to Rugby, during the 2018/19 year, the bureau dealt with 4,221 clients of which 3,408 were new cases to the bureau. These clients generated 14,581 issues across their main enquiry areas as seen below.

Number of new issues:

<table>
<thead>
<tr>
<th>Issue</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benefits and Tax Credits</td>
<td>378</td>
<td>458</td>
<td>448</td>
<td>604</td>
<td>1,888</td>
</tr>
<tr>
<td>Universal Credit</td>
<td>211</td>
<td>321</td>
<td>281</td>
<td>402</td>
<td>1,215</td>
</tr>
<tr>
<td>Consumer Grants and Services</td>
<td>87</td>
<td>103</td>
<td>77</td>
<td>198</td>
<td>465</td>
</tr>
<tr>
<td>Debt</td>
<td>556</td>
<td>717</td>
<td>550</td>
<td>720</td>
<td>2,543</td>
</tr>
<tr>
<td>Discrimination</td>
<td>13</td>
<td>9</td>
<td>6</td>
<td>10</td>
<td>38</td>
</tr>
<tr>
<td>Education</td>
<td>16</td>
<td>20</td>
<td>9</td>
<td>101</td>
<td>146</td>
</tr>
<tr>
<td></td>
<td>2022</td>
<td>2021</td>
<td>2020</td>
<td>2021</td>
<td>Totals</td>
</tr>
<tr>
<td>----------------------</td>
<td>-------</td>
<td>-------</td>
<td>-------</td>
<td>-------</td>
<td>--------</td>
</tr>
<tr>
<td>Employment</td>
<td>277</td>
<td>248</td>
<td>187</td>
<td>272</td>
<td>984</td>
</tr>
<tr>
<td>Financial Services and Capability</td>
<td>436</td>
<td>587</td>
<td>798</td>
<td>818</td>
<td>2,639</td>
</tr>
<tr>
<td>Health and Community Care</td>
<td>104</td>
<td>96</td>
<td>49</td>
<td>99</td>
<td>348</td>
</tr>
<tr>
<td>Housing</td>
<td>196</td>
<td>227</td>
<td>187</td>
<td>299</td>
<td>909</td>
</tr>
<tr>
<td>Immigration and Asylum</td>
<td>36</td>
<td>27</td>
<td>18</td>
<td>125</td>
<td>206</td>
</tr>
<tr>
<td>Legal</td>
<td>119</td>
<td>122</td>
<td>93</td>
<td>215</td>
<td>549</td>
</tr>
<tr>
<td>Other</td>
<td>182</td>
<td>230</td>
<td>202</td>
<td>222</td>
<td>836</td>
</tr>
<tr>
<td>Relationships and Family</td>
<td>192</td>
<td>190</td>
<td>138</td>
<td>234</td>
<td>754</td>
</tr>
<tr>
<td>Tax</td>
<td>58</td>
<td>38</td>
<td>24</td>
<td>90</td>
<td>210</td>
</tr>
<tr>
<td>Travel and Transport</td>
<td>29</td>
<td>46</td>
<td>38</td>
<td>100</td>
<td>213</td>
</tr>
<tr>
<td>Utilities and Communications</td>
<td>103</td>
<td>137</td>
<td>159</td>
<td>239</td>
<td>638</td>
</tr>
<tr>
<td>Totals</td>
<td>2,993</td>
<td>3,576</td>
<td>3,264</td>
<td>4,748</td>
<td>14,581</td>
</tr>
</tbody>
</table>

Out of 3,044 total outcomes, 870 resulted in monetary gain for Rugby residents of £2,110,000 (aggregated).

The top three areas with residents raising the most issues were:

- Benn Ward
- New Bilton
- Newbold and Brownsover

These coincide with areas where there are Community Associations in receipt of SLA funding from the Council, an indication that resource is being directed to where it is most needed.

The top three most prolific issues raised within these areas were:

- Financial Services and Capability
- Debt
- Benefits

In addition to the standard advice offer, the CAB provides the following services in Rugby:

- Pro bono legal advice, via a local solicitor firm for relationship and domestic violence issues.
- A fully qualified Financial Adviser who does pro bono work for clients in respect of mortgages, later life planning and other financial related issues.
- A Specialist Welfare Benefits Services takes referrals and helps clients to appeal benefits decisions and gives advice to people seeking disability upgrades, support with PIP applications and the provision of full benefit checks.

A key benefit of the advice service contract is that it has a role in preventing people from falling into a crisis that may eventually result in the loss of their home. By supporting the provision of services to offer this advice the Council is being pro-active in terms of helping to prevent crisis and the costs associated with this.
The Communities and Homes Service produces a 6-monthly newsletter to Council tenants – the Tenant Times. In the December 2019 edition, an advert was placed, inviting interested tenants to come forward as potential trainee advisers for the CAB in Rugby. To date, three tenants have expressed an interest, one of whom is now about to start their induction and training programme. This is another example of the added value of working in partnership.

4.0 WCAVA 2018/19

In the year 2018/19 WCAVA supported 219 unique organisations in Rugby with 317 different interventions, during this period they worked with each organisation on average 1.5 times. Much of the support is around issues of:

- volunteering
- training
- fund raising
- ensuring good governance through advice and health checks
- awareness building of things happening within the sector both nationally and locally – via a weekly e-letter
- promoting networking and awareness building opportunities within the sector, for example arranging Community Action Network events (dedicated to specific themes as appropriate) and taking a central role in the annual Our Rugby, Our Future event

In terms of volunteering, they advise that:

- 248 volunteers registered/recruited
- It is estimated that 141 of these 248 volunteers were placed (57%)
- There were 28 volunteer involving organisations registered
- 100 new volunteering opportunities organised
- The economic value of volunteering equates to approximately £334,318 per year

The data that they collect does not give them a clear understanding of how many volunteers that have registered do actually volunteer, how frequently, for how long and at what level. Therefore, the indicative value of £334,318 is to be treated with caution, as it is based on ASHE data of local wages and assumed hours of volunteering.

It should also be noted that placing volunteers within organisations is getting more complex and difficult. Corporate Social Responsibility policies mean that many may ringfence their support of the VCS to specific organisations through fundraising for example. This is far easier than inducting and managing volunteers. There have also been tensions between the DWP and WCAVA, as the former are perceived to seek to place people with support needs into volunteering opportunities. There is little in the way of appetite for this from employers, given the complex risk that may potentially have to be managed, and no infrastructure in place to support such placements.
The below table shows how much funding WCAVA has applied for and how much funding they were successfully awarded:

<table>
<thead>
<tr>
<th>Organisation</th>
<th>Funder</th>
<th>Amount</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>ConnectWELL</td>
<td>Coventry and Rugby CCG</td>
<td>£38,133.33</td>
<td>Delivery in Rugby area</td>
</tr>
<tr>
<td>Rugby Autism Network</td>
<td>Heart Of England Community Foundation</td>
<td>£2,000.00</td>
<td>To support training and counselling programme for families living with autism</td>
</tr>
<tr>
<td>Michaela McMillan</td>
<td>Rugby Borough Council</td>
<td>£1,000.00</td>
<td>Artist who applied for community project, WCAVA supported with policies</td>
</tr>
<tr>
<td>Lansdowne Allotment Association</td>
<td>Rugby Borough Council</td>
<td>£2,000.00</td>
<td>WCAVA supported with policies</td>
</tr>
<tr>
<td>Willey Village Association</td>
<td>Rugby Borough Council</td>
<td>£2,500.00</td>
<td>WCAVA supported with policies</td>
</tr>
<tr>
<td>Willoughby Parish Council</td>
<td>Rugby Borough Council</td>
<td>£6,466.00</td>
<td>WCAVA supported with policies</td>
</tr>
<tr>
<td>KidsNLaw</td>
<td>Rugby Borough Council</td>
<td>£500.00</td>
<td>WCAVA supported with policies</td>
</tr>
<tr>
<td>Rugby Autism Network</td>
<td>Rugby Borough Council</td>
<td>£2,292.00</td>
<td>WCAVA supported with policies</td>
</tr>
<tr>
<td>Trustees of Broadwell Green and Hall</td>
<td>Rugby Borough Council</td>
<td>£1,238.00</td>
<td></td>
</tr>
<tr>
<td>Rugby Autism Network</td>
<td>CEMEX</td>
<td>£4,500.00</td>
<td>WCAVA supported with application and policies</td>
</tr>
<tr>
<td>Burton Hastings Parochial Church Council</td>
<td>Tesco Community Fund</td>
<td>£1,000.00</td>
<td>Cost of extension so church can be used as community venue</td>
</tr>
<tr>
<td>ConnectWELL</td>
<td>Esmee Fairbairn</td>
<td>£149,518.00</td>
<td>Split over three years for service delivery</td>
</tr>
<tr>
<td>Rugby and District Sea and Royal Marines Cadets</td>
<td>Heart Of England Community Foundation</td>
<td>£1,578.00</td>
<td>For wet suits and instructor training</td>
</tr>
<tr>
<td>ConnectWELL</td>
<td>Coventry and Rugby CCG</td>
<td>£21,774.00</td>
<td>For work with High Intensity Users (HIU) of AandE</td>
</tr>
<tr>
<td>Burton Hastings Parochial Church Council</td>
<td>Garfield Weston Foundation</td>
<td>£10,000.00</td>
<td>For extension</td>
</tr>
<tr>
<td>Leamington Hastings Parish Hall</td>
<td>Warwickshire County Council</td>
<td>£1,191.67</td>
<td>For toilet refurbishment at hall</td>
</tr>
<tr>
<td>AGE UK</td>
<td>Warwickshire County Council</td>
<td>£271.00</td>
<td>For walking football club</td>
</tr>
<tr>
<td>Caldecott Collective</td>
<td>Warwickshire County Council</td>
<td>£1,996.25</td>
<td>WCAVA supported with constitution</td>
</tr>
<tr>
<td>The Red Box Project Rugby</td>
<td>Warwickshire County Council</td>
<td>£251.32</td>
<td>Application for relief of period poverty in Rugby schools</td>
</tr>
<tr>
<td>Rugby Autism Network</td>
<td>Tesco Bags of Help</td>
<td>£4,000.00</td>
<td>Family days out</td>
</tr>
</tbody>
</table>

The successful funding applications for the year, totalling £252,209.57 are detailed in the table below:

<table>
<thead>
<tr>
<th>Cumulative Totals 18/19</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applied for</strong></td>
</tr>
<tr>
<td>Total</td>
</tr>
<tr>
<td>Local</td>
</tr>
<tr>
<td>National</td>
</tr>
</tbody>
</table>
It should be noted that of the £252,209.27 above:

- £17,966 relates to the Council’s grants programme
- £209,425.33 relates to the Connect Well project
- £3710.24 relates to WCC grants
- The residual amount brought in is £21,107.70

Since 2019 WCAVA has:

- Taken on a more pro-active role with the council’s community grants programme, being the first point of contact for customers. This ensures that RBC officers are more remote, and therefore subsequent decision making can be viewed as being more objective.
- Delivered training workshops, jointly with officers from the Communities and Projects Team, for potential applicants to the RBC grants programme, including potential consequences of misuse of funds (either intentional or unintentional). The advantage of these workshops is that the learning will be transferrable to applying for grants to other awarding bodies who will be looking for similar things.
- Been supportive in promoting the Rugby Lotto as a potential source of revenue funding.
- Have increased their support of the community associations, even joining RBC officers in SLA monitoring meetings to provide advice and support for organisational development and governance.

5.0 Current activities of the community associations
The activities of the community associations are tailored to the needs of their local community. They are a conduit for enabling communities to increase their capacity and to better help themselves.

5.1 Benn Partnership Centre (BPC)
The BPC provides a range of activities and support services either directly, or in partnership with other organisations, including:

- New Directions
- Adult and Community Learning
- Action for Warm Homes
- Sikh Community Association
- Rainbow Over 50’s Club
- RAGM

The services provided are:

- ESOL classes
- Work Clubs
- English Cyber Café
- Well-being – yoga and pilates
- Adult education classes (some of which are specifically for adults living with disabilities)
• Welfare and day-care for older people
• Arts group
• Fuel debt and heat advice
• Dementia support group

BPCA also runs the Oasis located at the Health Clinic near Railway Terrace, many of the activities that run at BPCA also take place at the Oasis. It is arguable that BPCA is the most developed of the community associations and receive a lot of referrals from across the borough especially for ESOL provisions.

5.2 Brownsover Community Association (BCA)
The BCA was established in 2002, with the aim of improving the quality of life for residents. Until 2019, they have been operating without a specific building, instead working very closely with the local Christ Church and Children’s Centre. Although they now have a new community centre, many of the activities will remain at their current locations to avoid disruption.

The services that BCA provides at present are:

• Buddy Club which was initially set up to as a job club to support the unemployed, however, it now provides support for a number of issues as well as joblessness.
• Meet and Eat is a group that was originally set up to provide meals for children who might otherwise go without food during the school holidays. However, it now welcomes children from all backgrounds and is not restricted to school holidays.
• On Track (an RBC service) is a youth club, meeting two evenings a week with circa 30 young people attending each session (funded via the Big Lottery).
• Brownsover Art Group meets on a weekly basis and organises an annual art exhibition to raise money for charity. BCA support the exhibition by providing display stands and frames.
• BCA has recognised litter as being a significant issue in the area so have organised a regular Litter Pick.
• Finally, other activities at Christ Church that are supported by BCA are Active Aging, Brownsover Brew (a weekly drop in), Teddy Bears and a Foodbank.

In their expression of interest for the running of the new community facility, the BCA identified plans to expand activities for the community, with a focus on:

1. Internet café so that access to IT, online services and homework club is enhanced locally.
2. Enhanced provision of services tackling the skills gap and access to work and financial services and housing support and the credit union to enable families to thrive.
3. Access to health and wellbeing services in partnership with the new medical centre.
4. A space that can be hired for children’s parties.
5.3 New Bilton Community Association (NBCA)
The NBCA do not have a dedicated Community Centre to make use of so instead work peripatetically, making use of church halls and other spaces including the Hill Street Community Centre.

They are extremely active within the community:

- Running a Job Club which provides support for the unemployed, particularly the over 50s.
- Participation in the Fareshare scheme which makes surplus foods available to those in need. The two supermarkets that NBCA work with are Tesco and Waitrose. This is seen as a much-valued community service.
- Annual community day
- Utilising available green spaces to set up Edible Gardens, to encourage the community to engage with the green spaces and promote healthy eating.
- Production and distribution of a free newsletter to the local community which promotes local events, community engagement, recipes for healthy eating and other useful information. The newsletter is delivered to households by a network of volunteers.

5.4 Newbold-on-Avon Community Partnership (NCP)
Newbold-on-Avon Community Partnership (NCP) was established to unify the existing groups operating in Newbold to support the community.

The partners are:

- Newbold Chapel
- St Botolph’s Church
- The Village Hall
- Newbold Rugby Club
- Avon Valley School

The NCP currently provides:

- A Job Club but they currently do not have a lead worker and rely on volunteers. The group will signpost to other organisations to assist with CV, Job hunting or Job prep but as with a lot of Job clubs they are also providing support for complex cases and are moving towards “health and wellbeing” groups with job club as a part of this.
- Funding for the WIFI at the Chapel which is a crucial part of the services that they provide. These include a weekly food pantry, weekly café, gardening club, and soon to start, weekly stay and play sessions. Groups also hire the hall, including and Arabesque dance group and the historic transport group.
- The partnership actively organise and support around four or five community events each year which include: an Easter Egg Hunt, a coach trip to the seaside aimed at families who cannot afford a holiday; a scarecrow event; a community picnic, finally, providing and switching on the Christmas lights on the tree at Mill Green residential care home (for people with learning disabilities) in the centre of the village.
Some of these events are carried out by the individual groups but are supported by the partnership and their volunteers.

5.5 Overslade Community Association (OCA)
The OCA work in partnership with others to enable the provision of a number of services from the local community centre:

- a Job Club
- the Oasis over 50s Club
- baby and toddlers group
- weekly coffee morning are all ran internally
- take a Break Warwickshire provide a respite service twice a week, this is free but by invitation only
- a Child Health Clinic
- Tiny Talk Warwickshire provide a group helping parents communicate with their babies before they can talk
- RBC run two youth groups for 4-13 year-olds and 10-19 year-olds
- Overslade Church carry out a number of activities including a kids club and a Sunday service
- another local church runs a group called Messy Church which provides a free meal, craft activities and time to worship
- Sathya Sai provides a multi-faith group
- yoga classes

6.0 Work planned for 2020/21

The Advice and Community Infrastructure Support contractors are to be appointed in March 2020. In terms of advice – the appointed provider will still need to provide detail of presentations down to ward level and advice type required.

As a result of this increased understanding of the issues that people are seeking advice on, at a ward level, officers and the community associations are in a stronger position to understand community issues and to identify any gaps in service provision or information provision in the localities. These conversations will also be supported by the appointed Community Infrastructure Advice contractor who will be able to advise on additional VCS provision that may be able to support the gaps identified. This increased partnership working will provide added value to the work of both the council and the VCS.

The new SLAs with the community associations from April 2020 will be more focused on helping communities to help themselves. The objectives are that community associations will:

1. Understand the needs of the community they support
2. Enable people to take an active role in their community
3. Provide/enable activities and services which contribute to:
   - the well-being of the community
   - tackling issues of isolation and loneliness
• supporting more vulnerable groups
• tackling social exclusion
• tackling issues of financial exclusion
• Working with other partners and agencies to deliver the above

They will not be doing this alone, but with continued support from officers, the Community Infrastructure provider and their peers within the VCS.

7.0 Wider work of the service in partnership with the voluntary and community sector

In addition to the above, officers work closely with the sector in other ways to:

• consult with them as appropriate
• utilise their expertise and knowledge
• take part in joint public sector and VCS forums and groups

Appendix 5 provides a brief summary of the specific groups and organisations that the service works with.

8.0 Conclusion

There is a lot of support and collaborative work happening with the voluntary and community sector, and an increased understanding and recognition of the skills offered by the VCS.

Accountability in the use of public funds is key and this is evidenced in the processes in place to monitor outcomes in terms of contracts, SLA’s and projects delivered via grant funding.

As we better develop out understanding of our communities the partnership working allows more strategic planning and ultimately assists in our efforts to move from reacting to crises to being pro-active in preventing them from arising in the first place.
Name of Meeting: Communities and Resources Scrutiny Committee

Date of Meeting: 3 March 2020

Subject Matter: Communities and Homes - Working in Partnership with the Voluntary and Community Sector

Originating Department: Communities and Homes

DO ANY BACKGROUND PAPERS APPLY  ☒ YES  ☐ NO

LIST OF BACKGROUND PAPERS

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<th>Title of Document and Hyperlink</th>
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Introduction

Rugby Borough Council’s grants programme is there to support community organisations and voluntary organisations in delivering projects for the benefit of the people of Rugby. The amount of funding available for grant funding in 2020/21 will be subject to the Council’s budget setting for which happens at the end of February 2020.

We are looking for projects which are essentially ready to go. This avoids organisations’ benefitting from allocations of funding only to return them unspent as they are unable to deliver. This is in no-one’s interest and is something we would wish to avoid.

The grants programme is also an opportunity to support projects which will help the Council to achieve its corporate and portfolio objectives. These are detailed in the Council’s Corporate Strategy which can be found at www.rugby.gov.uk/corporatestrategy.

The aim of this document is to provide you with information well ahead of the 6th January 2020 opening date for the 2020/21 round of grants. This will give you the opportunity to ensure that you have all that you need in place to be ready to submit a quality application. It also means that if, having read this guidance, you decide that you are not quite ready to make an application, you know who to contact for support and advice to help you get your grant application ready.

Please note that as part of the online application process you will be asked to confirm that you have read and understood the contents of this document and that, in the event your grant application is successful, that you agree to the terms and conditions stated in it.

Grant Application Training Workshop

Warwickshire Community and Voluntary Action will hold a grant application training workshop on Wednesday 22nd January 2020

The workshop, which takes place at Rugby Borough Council from 10am to 12pm, offers advice and support to organisations interested in applying for a grant.

To book a place at the workshop, call WCAVA on (01788) 574258.
SECTION A:
INFORMATION FOR ALL APPLICANTS

1. Who can apply for a grant?

The following groups can apply for a grant but only to deliver a **project that will directly benefit the people of Rugby**:

- Community/voluntary organisations
- Arts groups/individual artists who engage communities in creative activities
- Sports organisations (officially recognised by Sport England or by a national disability sports organisation)
- Parish councils (within the borough of Rugby)
- Not for profit organisations
- Charitable organisations
- Faith organisations

To be eligible to apply for the grant, the group/individual artist must:

- have a formal/signed constitution*; or
- have standing orders; or
- have a Memorandum of Association; and
- be able to submit all the documentation listed in Section 8 of this document**
- be able to demonstrate that the project will be delivered within 12 months of the receipt of grant (failure to do so may result in your having to repay the full grant amount)

*The only exception to the above is individual artists, living or working in Rugby, who are proposing to engage the community in a community arts project for delivery in Rugby. They can apply but must instead provide an artist’s statement – please see section C (page 16) on which confirms what needs to go in this statement.

**Please note that your application cannot be considered without the required supporting documents.**

If you are unable to provide the documents required, please contact Warwickshire Community and Voluntary Action (WCAVA) for advice – their contact details are given in Section 11.
2. **Who *cannot* apply for a grant?**

- Schools and academies
- Statutory or profit-making organisations
- Political organisations
- Individuals (other than individual artists who engage communities in creative activities)

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<th>We will not consider applications for projects which:</th>
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<td>• provide religious activities</td>
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3. **Some basics to consider before applying for a grant**

It is worth setting out some basics at the very beginning to help you decide if applying for a Council grant is the right thing for you / your organisation:

- The grants are only intended for the delivery of the specific project for which funding is applied for. Applications for core funding of day-to-day running costs will not be considered.
- The closing date for applications is **midnight on 23rd February 2020**
  Applications will not be accepted after this date
- Incomplete applications or those that do not include the required supporting documentation, will not be considered
- Projects that intend to use a substantial amount of the grant toward employment costs are less likely to be favourably considered
- We will not consider funding for food and refreshments as part of project delivery
- If the project involves the purchase of equipment, works or/and services you need to provide two quotes dated within the last three months; xref. par. 8.7
- If the project cost takes account of time of people the application needs to explain how the value of this has been calculated and relevant quotes need to be provided, e.g. a quote from a football coach
- It is your organisation's responsibility to ensure that all necessary permissions are obtained and that regulations are met, prior to the grant application being submitted. Some examples are planning permission, land owner's permission and building regulations approval.
- If your proposed project involves the Council’s land or assets in any way, you should contact the following, for advice, ahead of making your application:
• You must allow for both the time and cost of obtaining permissions when planning your project. The associated costs of obtaining such permissions should be taken into account as part of your project costs.

• Your project cannot start without the required permissions being in place and the relevant regulations being met.

• Any projects involving potential building works must be discussed with the relevant experts in planning (Development Control) and in Building Control. You should allow sufficient time for this ahead of making your application.

• You can access free pre-planning advice before you submit a planning application, email: rbc.planning@rugby.gov.uk or telephone (01788) 533759.

• If your project involves making amendments to buildings or other facilities, the organisation MUST consult and take advice from the Council’s Building Control before undertaking the work. This is to ensure accessibility standards (including disability access) are met appropriately.

Building control can be contacted by emailing: buildingcontrol@warwickshire.gov.uk.

• Payment of grants for building improvements may be dependent on confirmation of approval from building control.

• If your project relates to planned improvements to heritage buildings, you must also obtain advice from the council planners (Development Control), by emailing: rbc.planning@rugby.gov.uk or telephone (01788) 533759.

• For any project, you should be satisfied that any contractors that you are planning to appoint to undertake works are competent. If your project involves electrical works, then the contractor must be NICEIC approved. If your project involves gas works, then the contractor must be GAS Safe registered. You will be required to confirm this as part of the on-line application process.

• If you intend to apply for a grant towards a food project, involving the storage, sale, distribution or preparation of food / drink you will need to register the premises from which the project will operate. Registration is free of charge, but you must register at least 28 days before you can proceed with the project.

Further advice on the registration process can be obtained from the Council:

Email: fs@rugby.gov.uk or telephone: (01788) 533851.

• Your organisation shall have regard to and comply with the requirements of the Health and Safety at Work Act 1974 and all other relevant Acts, Regulations and Directives.

• There is no guarantee that your application will be successful, or if it is that you will receive the full amount applied for.
• Payments will only be made for expenditure incurred after the council has provided formal notification of the grant. Adequate time should be allowed for the grant payment to be processed

• This is a competitive process for limited resource – it is up to you to increase your likelihood of success by preparing your application properly and in line with the advice provided in this document

• The available grants funding is allocated by the Grants Working Party. Their decision regarding which projects benefit is final

4. How do I apply for a grant?

Applications must be made using the on-line application form, accessible on the Council’s website at https://customer.rugby.gov.uk

You will first need to register as a customer on Rugby Self-serve to be able to apply for the grant. When you have registered, please select ‘services’ and then select ‘Grants 2020/21 application’. You can then start the online application process.

Once you have registered on Rugby Self-serve you can save the form and return to it when needed. When you have saved your progress, close the browser or log out, and upon returning to the form, log in and select ‘My requests’ to pick up the progress of your Grants form.

Postal or email applications will not be accepted.

If your organisation requires support in making an on-line application, please contact WCAVA for support.

The Council allocates the grants therefore is unable to offer assistance in making applications, as this would be a conflict of interest. Instead, please refer your enquiries to WCAVA.

5. How does the Council decide which applications have been successful?

The Grants Working Party, a cross-political party group of Councillors, will meet during May 2020 to consider the applications received. They will then inform the June 2020 meeting of Cabinet of their decisions.

Applicants that are awarded a grant will be contacted, to confirm this, after the meeting of Cabinet.

6. Unsuccessful applications

If your application is unsuccessful then you should seek advice/feedback from WCAVA. They will be able to review your application and advise on how it could have potentially been improved. This will improve your future chances for attracting funding from other potential sources.

WCAVA can also assist you in identifying other potential sources of funding.
7. **What are the available grants?**

There are two funding streams:

- **Rural Development Fund** – one off revenue grants up to £10,000 available to parish councils or local voluntary and community groups to apply for help towards the cost of one-off projects, improvement schemes or purchases which can demonstrate benefits to the rural communities. Please see Section B for more information on the Rural Development Fund.

- **Community Projects Grant** – one off revenue grants of up to £2,000 to assist voluntary and community organisations in delivering one-off projects and activities that will benefit the local community. Please see Section C for more information on the Community Projects Grant.

8. **Documents you will need to submit as part of the application process**

Before you start to input your application, it is recommended that you have scanned the following documents so that you can upload them at the appropriate points in the process.

8.1 **Confirmation of the rules / governance of your organisation**

One of the following, which sets out the rules of your organisation and how it runs:

- A formal/signed constitution; or
- Parish Council Standing orders; or
- A Memorandum of Association
- Artist statement – for individual artists

8.2 **Confirmation of your Public Liability Insurance**

A certificate, clearly confirming your public liability insurance and the name of the insurer will be required. Your cover has to be for a minimum £5m. The name of the organisation, displayed on the certificate, must be the same as the name of the organisation that is applying for the grant.

If such cover is not already in place then you will be required to provide a copy of a quote for the required cover, in the event that your application is successful. You must ensure that you have accounted for this expense in the budget for your project, and your subsequent grant application. If your application is successful, you will need to prove that the required cover is in place (a copy of the certificate) before the funding can be allocated to you.

The resulting grant funding awarded should not be considered to provide any liability on the Council’s part for insurance or maintenance purposes. The organisation shall be responsible for and ensure adequate insurance cover is in place for its project / activities.

You will also need to provide evidence of the continuance of the required cover throughout the project delivery, should it be requested by the Council.
8.3 Financial data

Ideally, we require a copy of your most recent audited accounts.

However, we understand that smaller organisations may not have these. In these circumstances we will consider a statement that shows your organisation’s balance of funds, income and expenditure. If you do not have financial records that cover a full year then you will need to provide a breakdown of expected income and expenditure, your current balances and a cashflow forecast.

Details of any known events which have the potential to impact on your organisation’s financial stability, or ability to deliver the project, must be disclosed as part of the application procedure.

As part of the on-line process, you will be required to confirm:

- that the name of your bank/building society account is the same as the name of the organisation applying for the grant
- name of bank/building society, branch address, sort code and account number
- your organisation’s bank/building society balance as on the date of application
- your organisation’s level of reserves, and how you intend to use these
- how you are funding the project - this will need include:
  - any planned use of current balances /reserves toward project costs (or if these balances / reserves are not going to be utilised then the reason for this)
  - other funding pledged and already paid to your organisation
  - other funding pledged but not yet paid to your organisation
  - other grants/sources of funding are being applied for, which your project delivery will be dependent on, including how much you have applied for, from whom and when the outcome of your application will be known.

When we refer to reserves we are referring to the part of your organisation’s unrestricted funds that you are freely available to spend on any of your group’s purposes. Your organisation may have other funds that are ‘restricted funds’, for example grants or gifts that have been made to allow to progress a specific project or outcome. You should illustrate your reserves and restricted funds separately so we can get a true picture of your group’s finances.

We will also need a brief explanation so that we can understand why your group holds the levels of reserves that it does. This is important as every group will base this on their own particular circumstances and the risks, uncertainties, financial pressures etc. that they face.

You should keep appropriate financial records to evidence expenditure on the project. By accepting the grant, you will be agreeing to provide these to the Council, if requested to do so.
8.4 Safeguarding vulnerable adults and children policy / adults and children at risk policy

At the time of application, you will be required to upload a copy of your current safeguarding vulnerable adults and children policy and procedures (sometimes referred to as adults and children at risk policy and procedures). Your application cannot progress without these.

As part of the on-line application process you will be required to confirm:

- the source of advice received to inform the development of your policy/procedures
- the next review date
- the review frequency - to ensure that it remains fit for purpose
- the contact details of your safeguarding lead
- if appropriate, how you undertake the required checks for staff, volunteers and management committee members working directly with or with access to children and young people or information about children and young people
- how you ensure that all staff, volunteers and management committee members receive working with children training which is relevant to their role and updated on a regular basis.
- how your organisation takes the appropriate steps to ensure that vulnerable / at risk adults, children and young people in your care are safe, e.g. by conducting risk assessments for activities, by ensuring supervisory staff hold relevant qualifications, by providing adequate training to volunteers.

If you need any advice on developing your policy and procedures, please contact WCAVA for advice. They also have a template for safeguarding policies and procedures which can be accessed via:

https://www.wcava.org.uk/resource-library/safeguarding-policies-procedures

If you do have a policy and want some advice on how robust it is then please also contact WCAVA.

8.5 Equalities Policy

At the time of application, you will be required to upload a copy of your current Equalities Policy. Your application cannot progress without this.

As part of the on-line application process you will be required to confirm:

- the next review date
- the review frequency - to ensure that it remains fit for purpose
- the contact details of your equalities lead
If you need any advice on developing such a policy then please contact WCAVA. If you do have a policy and want some advice on how robust it is then please also contact WCAVA.

8.6 Health and Safety Policy

At the time of application, you will be required to upload your current Health and Safety Policy. Your application cannot proceed without this:

As part of the on-line application process you will be required to confirm:

- the next review date
- the review frequency - to ensure that it remains fit for purpose
- the contact details of your Health and Safety lead

If you need any advice on developing such a policy, please contact WCAVA for advice.

8.7 Quotes for services, works or purchases

You must supply copies of at least two quotes, dated within the last three months, for services, works or purchases, for which the grant relates to. Without these your application cannot progress and will not be considered.

Acceptable quotes include:

- letters or emails from businesses or service providers
- screen shots from suppliers’ websites

As part of the on-line process, you will be required to confirm if your organisation is able to recover VAT, and your VAT reference number. If you can reclaim VAT then you will only be able to apply for grant for the net amount.

8.8 Data protection

The Data Protection (Charges and Information) Regulations 2018 requires every organisation that processes personal information to register with the Information Commissioner’s Office (ICO), unless they are exempt. Please note that failure to do so will result in a fixed penalty.

For further information please contact: https://ico.org.uk/about-the-ico or WCAVA.

As part of the Council’s on-line grants application process, you will be asked to:

- confirm if your organisation is required to register with the ICO
- if your organisation has registered then you will be required to confirm your registration details and the date that registration was effective from

9. Evaluation of your project

As part of the evaluation process, an officer from the Communities and Projects Team will contact your organisation to clarify:
• if the project was delivered on time
• if the stated objectives were met
• what went well and what could have gone better
• if the project utilised the funds in the appropriate way (including proof of expenditure)
• whether you were satisfied with the grants application process

If you want to change any aspect of the project you must seek our prior approval.

If we learn that the grant is spent on activities or items that are different to those stated in the application form, we may ask for the funding to be returned.

10. What do I do if I have any queries about my application?

This information pack is designed to cover most of the questions that you may have. In addition, the grants digital process is detailed and easy to follow.

If you need further assistance, please contact WCAVA.
11. Some useful contacts

WCAVA

WCAVA can provide advice for voluntary and community organisations about:

- how to apply for a grant from Rugby Borough Council
- support to devise and cost you project
- developing organisational documents, such as policies and constitutions
- what national and local funding is available

You can contact WCAVA by email: rugbyinfo@wcava.org.uk or telephone: (01788) 574258

Warwickshire and West Midlands Association of Local Councils (WALC)

WALC can provide advice for Parish Councils about:

- developing organisational documents
- applying for funding
- project development

You can contact WALC by email: enquiries@walc.org.uk or telephone: (01789) 472616

Warwickshire Rural Community Council (WRCC)

WRCC can provide advice in respect of:

- Village Halls and other rural facilities
- rural initiatives
- how to apply for a grant
- developing organisational documents
- project development

You can contact WRCC by email: halls@wrccrural.org.uk or telephone: (01789) 472610
What are the criteria for the Rural Development Fund?

This is a one off revenue grant of up to £10,000 available to parish councils or local voluntary and community groups to apply for help towards the cost of one-off projects, improvement schemes or purchases which can demonstrate benefits to the rural communities in Rugby. These are defined as the parishes of:

- Ansty
- Binley Woods
- Birdingbury
- Bourton and Draycote
- Brandon and Bretford
- Brinklow
- Burton Hastings
- Cawston
- Church Lawford
- Churchover
- Clifton upon Dunsmore
- Combe Fields
- Copston Magna
- Cosford
- Dunchurch
- Easenhall
- Frankton
- Grandborough
- Harborough Magna
- Kings Newman
- Leamington Hastings
- Long Lawford (incorporating Little Lawford, Lawford Heath and The Crescent)
- Marton
- Monks Kirby
- Newton and Biggin
- Pailton
- Princethorpe
- Ryton on Dunsmore
- Shilton and Barnacle
- Stretton Baskerville
- Stretton on Dunsmore
- Stretton under Fosse
- Thurlaston
- Wibtoft
- Willey
- Willoughby
- Withybrook
- Wolfhampcote
- Wolston
- Wolvey

Projects must be delivered within 1 year of receipt of any grant awarded by the Council.

For any parishes of 300 plus people, the Council will not consider funding an application in full – an element of match funding will be required.

The match funding requirements are according to the size of the parish, as at the Census 2011. Whilst it is appreciated that a parish may have changed in size since the last Census, it is necessary to have a consistent measure of population size that all applications can be measured against. This is something that will be verified and if the application data is found not to be based on the Census data then the application will be unable to progress.

Here is a summary of the potential funding available

- population less than 300 is potentially eligible for up to 100% grant funding for the total cost of project
- population of 300-500 is potentially eligible for up to 75% grant funding for the total cost of project
- population of 501-1,000 is potentially eligible for up to 65% grant funding for the total cost of project
- population of greater than 1,000 is potentially liable for up to 50% grant funding for the total cost of project
The table below is an indication of how much grant a project may be eligible for, according to population size (as defined by the Census 2011).

<table>
<thead>
<tr>
<th>Total Project Cost</th>
<th>Population greater than 1,000 Funding</th>
<th>Population from 501-1,000 Funding</th>
<th>Population from 300-500 Funding</th>
<th>Population less than 300 Funding</th>
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Before you apply, you should ensure that your project is ready to go, with the match-funding in place to ensure delivery. You will be asked to confirm:

- where the match funding is coming from
- the status of the match funding i.e. in place, committed, applied for or a mix of these

**Examples of successful projects from previous years**

- Developing and sustaining community transport projects
- Improvements to rural community facilities
- Improvements to play areas and playing fields
- Improving rural social isolation and well-being
SECTION C:
ADDITIONAL INFORMATION – COMMUNITY PROJECTS GRANT

What are the criteria for the Community Projects Grant?

The fund is available to assist voluntary and community organisations in delivering one-off projects and activities that will benefit the local community.

The requested grant must not exceed £2,000.

Projects that are awarded grant funding must be delivered within 1 year from the date the money is paid.

Examples of successful projects from previous years

- Development of community cafes and food projects
- Development of youth clubs and youth engagement projects
- Disability support projects
- Cultural development projects
- Sports development projects

Extra information for projects that relate to arts

We encourage applications from individual artists (who engage communities in creative activities) and voluntary organisations in Rugby who engage the local community in creative activity and partnerships. This is an opportunity for artists and creative groups to develop new ideas, initiatives and start-up projects that encourage growth, progression and expansion in the creative sector.

As individual artists will not have a constitution, we will require them to submit, an artist’s statement as part of their application. This should be no more than one page and cover the following:

- a general introduction to your work and the basic ideas / key themes explored in your current practice as a professional artist
- what you are trying to say with your work
- what influences your work
- how your methods of working (techniques, style, formal decision) support the content of your work
- what debate or community development does or could result from your work
• how this relates to your request for a grant
• how this enables you to engage with the local community and specific communities of interest

Individual artists, the same as groups, need to be able to submit all the documentation listed in Section 8 of this document.

Applications must show how they will share good practice and benefit the community.

The successful grant applicants will become ambassadors of talent from Rugby, helping to play a strong role in the cultural scene of the area. The Council will create a formal partnership with the awarded projects, offering advice and support via the Arts Development Officer.

Applications must show how the proposed activity meets both of the essential and at least one of the desirable aims outlined in the table below. If your project does not adhere to these requirements it cannot progress.

<table>
<thead>
<tr>
<th>AIM</th>
<th>DESCRIPTION</th>
<th>ESSENTIAL/ DESIRABLE</th>
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<tbody>
<tr>
<td>Benefiting Rugby</td>
<td>Demonstrate that Rugby residents directly benefit from the projects as participants</td>
<td>Essential</td>
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<tr>
<td>Striving for excellence</td>
<td>Projects that are of artistic quality and inspiring to audiences/participants</td>
<td>Essential</td>
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<tr>
<td>Fostering pride in the town</td>
<td>Projects that promote the culture and heritage of Rugby</td>
<td>Desirable</td>
</tr>
<tr>
<td>Improve the health and wellbeing of residents</td>
<td>Projects that demonstrate an improvement in health and wellbeing through creativity and increased social engagement</td>
<td>Desirable</td>
</tr>
<tr>
<td>Sustainable arts community</td>
<td>Projects and initiatives that develop artists to deliver the above criteria</td>
<td>Desirable</td>
</tr>
</tbody>
</table>

Applications should be for a project or initiative that is outside of their day to day activities, and as a result can be for help with costs in respect of:

• Arts equipment
• Set-up costs
• Publicity and promotion
• Talent development (for groups)
• Tutor/artist fees related to the project
• One-off facility hire for tournament/event
• Travel costs related to the project

However, we will not consider funding:
• Capital costs (building costs or maintenance)
• On-going expenses, running costs or overheads (facility hire, minibus hire, insurance costs)
• Education courses (for individuals)
• Affiliations and subscriptions
• Refreshments
• General administration costs
• Repeat or regular events and existing activities
• Projects that have already started

Extra information for projects which relate to sports

We welcome applications for sports-based events or projects that will help toward the cost of:

• developing and sustaining sports services/activities and increase participation within Rugby Borough
• projects which help individuals and groups, who are regularly inactive, to improve their levels of exercise.

Here are some examples of projects that we will consider funding:

• Sports equipment (one-off capital costs e.g. cricket roller)
• Set-up costs (either new clubs or new sections within an existing club)
• Publicity and promotion
• Talent development
• Coaching/tutor fees
• Officials’ fees for new or one-off tournament/event
• One-off facility hire for tournament/event
• New activity which will develop and improve an existing sports club

Here are some examples of projects that we will not consider funding:

• Capital costs (building costs or maintenance)
• On-going organisational expenses, running costs or overheads (facility hire, minibus hire, coaches’ expenses, league fees, insurance costs)
• Any form of clothing (including kit)
• Affiliation and subscriptions
• Repeat or regular events and existing activities
• Refreshments
• Travel costs
• General administration costs
• Projects that have already started

If your project relates to anything on the list of projects that we will not consider funding then please contact WCAVA for advice on potential alternative funding opportunities.
**Extra information for projects for youth and play**

Here are some examples of projects that we will consider funding:

- A new activity that is extraordinary to the applicant’s normal practice which will develop and improve the organisation / artist / club
- Equipment (one-off capital costs e.g. play area / sports / arts equipment)
- Set up costs
- Publicity and Promotion
- Talent Development
- Tutor / Artist / Coaching / Consultancy / Officials’ fees
- One-off facility hire

Here are some examples of projects that we will not consider funding

- Capital Costs (building or maintenance)
- On-going organisational expenses, general administration and running costs / overheads (including premises rental, minibus hire, coaches’ expenses, league fees, affiliations, subscriptions and insurance costs)
- Education courses for individuals
- Refreshments
- Repeat or regular events and existing activities
- Any costs incurred before the grant is formally awarded and projects that have already started
- Sports clothing and kit
- Travel costs

Any project relating to the installation of outdoor play equipment and youth facilities should meet the following standards (or their replacements) where relevant:

- Play areas and equipment – BS EN 1176
- Impact Absorbing Surfacing – BS EN 1177
- Multi Use Games Areas (MUGAs) – BS EN 15312
- Wheeled sports areas – BS EN 14974
- Outdoor gym equipment - BS EN 16630

If your project involves outdoor play, youth facilities or sports pitches then you must contact the Parks Department via talkinthepark@rugby.gov.uk or 01788 533706 for advice. You should allow sufficient time for discussions as part of preparing your application, and also for contacting potential suppliers and/or landscape architects.
This is important, to ensure that sufficient and suitable space is allocated in any designs for not just the equipment, but the free fall space and surfacing and free movement space etc, and also so inspection and maintenance are suitably planned for. (Good practice is for annual independent inspection to take place and/or post installation inspection for new play areas, and for recorded routine inspections to take place. Applicants should not be intimidated by this process, and it does just make sure that for example if a bolt is a bit loose and needs tightening, you find out from your inspection, and then it can tightened it up).

If your application is successful, there is a requirement that you ensure that a post installation inspection is carried out by a suitably qualified RPII registered inspector and a copy of this report must be forwarded to the Council (for smaller projects such as adding one piece of equipment to an existing site this may be best done by having the annual inspection for that year carried out to cover the whole site and the new equipment).
# SECTION E: CHECKLIST FOR APPLICANTS

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<th>Which fund does this apply to?</th>
<th>Issue</th>
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</thead>
<tbody>
<tr>
<td>Both</td>
<td>Does my project benefit the people of Rugby?</td>
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<tr>
<td>Both</td>
<td>Can my project be delivered within 12 months of receiving the grant?</td>
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<tr>
<td>Both</td>
<td>Can I demonstrate that my project will assist the Council in meeting its corporate/portfolio objectives?</td>
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<td>Both</td>
<td>Is my group eligible to apply?</td>
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<td>Both</td>
<td>Does my group have the required rules of the organisation and how it is run?</td>
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<td>Both</td>
<td>Is it clear that my project does not provide religious activities or promote religious beliefs?</td>
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<td>Both</td>
<td>Is my clear that my project is not associated with / or promote political activities?</td>
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<tr>
<td>Both</td>
<td>Is my funding request for a specific project? (Applications for core funding of day-to-day running costs cannot be considered)</td>
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<tr>
<td>Both</td>
<td>Have I got the permissions I need to deliver my project?</td>
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<td>Both</td>
<td>For projects involving building works – have I obtained the relevant planning and building control advice?</td>
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<tr>
<td>Both</td>
<td>For projects involving work to heritage buildings – have I obtained advice from the Rugby Art Gallery and Museum?</td>
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<tr>
<td>Both</td>
<td>For projects involving building works – am I satisfied with the competency of my proposed contractors?</td>
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<tr>
<td>Both</td>
<td>For electrical/gas works – Is my contractor NICEIC registered/Gas Safe registered?</td>
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<tr>
<td>Both</td>
<td>For projects relating to the provision of food – have I obtained food business registration?</td>
</tr>
<tr>
<td>Community Projects Fund</td>
<td>If my project is arts focused - can I demonstrate that it achieves all of the essential criteria and at least one of the desirable criteria, outlined in the guidance notes?</td>
</tr>
<tr>
<td>Community Projects Fund</td>
<td>If my project is sports based - can I demonstrate that my project will either:</td>
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<td></td>
<td>• develop and sustain sports services/activities and increase</td>
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<tr>
<td><strong>Community Projects Fund</strong></td>
<td>Participation within Rugby Borough, or help individuals and groups, who are regularly inactive, to improve their levels of exercise</td>
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<td></td>
<td>If my project relates to the provision of play equipment, or sports areas, can I demonstrate that it complies with:</td>
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<tr>
<td></td>
<td>• Play areas and equipment – BS EN 1176</td>
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<td></td>
<td>• Surfacing – BS EN 1177</td>
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<tr>
<td></td>
<td>• Sports areas – BS EN 15312</td>
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<td></td>
<td>• Wheeled sports areas – BS EN 14974</td>
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<table>
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<tr>
<th><strong>Community Projects Fund</strong></th>
<th>If my project relates to the provision of play equipment, or sports areas, can I demonstrate that I have discussed my application, including the ongoing maintenance and inspection regime requirements, with the Council’s Green Spaces Officer ahead of making my application?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Both</strong></td>
<td>Have I got proof of current public liability insurance to a minimum of £5m or a quote for the same (and have allowed for the cost of this in project planning)?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Have I got a copy of recent audited accounts or confirmation of the balance of funds/income and expenditure?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Can I confirm my organisation’s current bank balance?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Is the applicant / organisation’s bank account in the same name as the applicant / organisation applying for the grant?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Have I got a copy of the reserves statement for the organisation?</td>
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<td><strong>Both</strong></td>
<td>Can I demonstrate how the project will be funded?</td>
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<tr>
<td><strong>Rural Development Fund</strong></td>
<td>Can I confirm the population of the parish as per the 2011 Census?</td>
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<tr>
<td><strong>Rural Development fund</strong></td>
<td>Can I demonstrate that the required match funding is secured/committed?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Have I got a copy of the organisation’s current safeguarding policy and procedures, relevant to our work?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Can I confirm the review date and review frequency for this policy?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Can I confirm where advice was received from in developing this policy?</td>
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<tr>
<td><strong>Both</strong></td>
<td>Can I confirm who the safeguarding lead is for the organisation?</td>
</tr>
<tr>
<td><strong>Both</strong></td>
<td>Where appropriate, can I confirm how the required safeguarding checks for staff, volunteers and management committee members are undertaken?</td>
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<tr>
<td>Both</td>
<td>Can I confirm how appropriate training for staff, volunteers and management committee (appropriate to their role) is undertaken and refreshed on a regular basis?</td>
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<tr>
<td>Both</td>
<td>Can I confirm how the organisation takes the appropriate steps to ensure that vulnerable / at risk adults, children and young people are kept safe?</td>
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<tr>
<td>Both</td>
<td>Have I got a copy of the organisation’s current Equalities Policy?</td>
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<tr>
<td>Both</td>
<td>Can I confirm the next review date and the review frequency of this policy?</td>
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<tr>
<td>Both</td>
<td>Can I provide the contact details for the organisational lead for equalities?</td>
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<tr>
<td>Both</td>
<td>Have I got a copy of the organisation’s current Health and Safety Policy?</td>
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<tr>
<td>Both</td>
<td>Can I confirm the next review date, and review frequency, for this policy?</td>
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<tr>
<td>Both</td>
<td>Can I provide the contact details for the organisational lead for health and safety?</td>
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<tr>
<td>Both</td>
<td>Where appropriate, can I supply copies of at least two quotes for works or purchases, for which the grant relates to?</td>
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<tr>
<td>Both</td>
<td>Can I confirm if the organisation is able to recover VAT and, where appropriate, its VAT reference number?</td>
</tr>
<tr>
<td>Both</td>
<td>Can I confirm if my organisation is required to register with the Information Commission Office (ICO), and where appropriate, its ICO reference number?</td>
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2018/19 Grant Follow Up Evaluations

Updated November 2019
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<td>Rugby Swimming Club</td>
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<td>Wolston Parish Council (Wolston Youth Club)</td>
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<td>Willoughby Parish Council</td>
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We have recently followed up with Organisations that had received Grants in the 2018/19 financial year to see if the money was spent and whether or not they were able to achieve their objectives. We thought that you would find this to be of interest.

**Kids ‘n’ Law**
- Community and Voluntary Grant of £500 awarded
- Grant was for a website building project
- The objective was to obtain help in the designing and building of the Kids ‘n’ Law website from a professional web designer
- Payment was released to the organisation in December 2018
- An update on progress has been requested and a response is currently awaited.
- In May 2019 the organisation confirmed that they were unable to deliver the project and they were asked to refund the full amount they had received.

**Lansdowne Allotment Association**
- Community and Voluntary Grant of £2,000 awarded
- Project was to protect Lansdowne Allotments
- The objective was to protect and enhance the site after taking it over from Rugby Borough Council, looking to enhance it with extensive Heritage planting and creation of wildlife sites
- Protecting and enhancing the site is underway thus the objective has been achieved
- All plot holders and future allotment holders will benefit from the improved site
- The difficulties of the project included a lack of expertise and skills in certain areas
- Costs cannot yet be determined as the purchasing of all equipment has not been completed although it is predicted to be completed within budget
- This is an ongoing project and plans are currently being formulated to continue to protect and maximise the benefits on the land.

**Rugby Autism Network Charity**
- Community and Voluntary Grant of £2,292 awarded
- Emotional Resilience and Counselling Provision Project
- The planned objectives were to help improve the emotional wellbeing of our families and to help improve their skills and techniques to deal with difficult situations
- The objective was achieved and the charity received great feedback
- The benefits were that their members had access to services that they had not been able to use previously, they were very impressed with the provider of the workshops and are looking to work with her again
- Group did not encounter any difficulties during the project
- The cost was over £4,000 as expected and they got funding from other grants
- They will continue to work with the workshop provider and will consider getting further funding for the counselling as it was so valued by families
Rugby Baptist Church
- Community and Voluntary Grant of £2,500 awarded
  - The Access Project
  - The objective was to install a vertical lift to allow access to the upper hall for wheelchair users and the elderly who cannot use the concrete staircase
  - The objective was achieved and the lift was installed providing access to the upper hall
  - The benefits allowed those with limited mobility access to the upper regent rooms
  - The organisation encountered difficulty with the project when trying to gain listed building approval and adhere to building regulations
  - The cost was 10% higher than anticipated
  - The project is part of a larger vision to make the premises accessible and friendly to all

Rugby Indian Youth Group
- Community and Voluntary Grant of £1,000 awarded
  - Camping Project
  - The objective was to promote healthy living, exercise and learn social skills that encourage young people to become more independent and to better themselves
  - The objective was achieved as the children planning the activities for the weekend and learned basic skills on how to erect tents as a team
  - 15 children benefited from the project and enjoyed the experience
  - The difficulties of the project lay in getting the children motivated to take on and achieve the goals which were set during the weekend and promoting healthy eating proved a challenge with the children
  - The grant received totalled £1,000 however the total cost came to £1,400 which included the cost of the tents, equipment and campsite, the volunteers contributed to make up the shortfall
  - The project has made the children more aware of life skills and brought the children closer together in the community.
  - The organisation wishes to continue the project onto new children having showed pictures to them they were very keen to attend the next one

Tea Leaf Tales Drama Group
- Community and Voluntary Grant of £2,490 awarded
  - 10 Open Drama Sessions to encourage new people to engage with their group
  - The group gained 2 new members which ensured they achieved their main objective
  - The key benefits included integration with other local groups and increased confidence of members in meeting new people, there was a lot of positive feedback received
  - The only difficulty they faced was that some sessions were postponed until February 2019 due to a low uptake over the Christmas period
• The cost was £2,490 and this was met by the grant
• Would like to continue the project moving forward and have offered to run similar sessions on a smaller scale run by volunteers

Warwickshire Vision Support
• Community and Voluntary Grant of £1,085 awarded
• The grant was for training and development of volunteers
• The main objective was to provide a comprehensive volunteer training programme for all of our 270+ volunteers across Warwickshire, 50+ of whom support our activities working with visually impaired people in the Rugby District
• The key objectives were achieved.
• The only barrier to the project was trying to get volunteer together on a set day of training
• The overall cost of the project was £1,085.00 and it was fully met by the grant.
• The sight loss awareness training does not need to be re-certificated. The skills learnt on the course are for life.

Wolvey Parish Council
• Rural Development Fund Grant of £2,540 awarded
• Grant was for Refurbishment work
• The objective was to carry out essential refurbishment work to ensure the pavilion is maintained in a good working condition.
• The objective was achieved
• The key benefits were that there was visual improvement and longevity of the building had increased which in turn made it more likely to receive bookings
• No difficulties were encountered
• The cost of the project was £2,540 plus additional £210 due to an unforeseen increase in skip hire charges which was funded by the Wolvey Playing Field Trust

Rugby Canoe Club
• Sports Grant of £1,000 awarded
• Grant was for the purchase of 2 stand up paddle boards
• The objective was to provide better access to stand-up paddle boards during club activities – this was achieved
• Benefits were that member and visitors had better access to paddle boards
• The organisation did not encounter any difficulties
• The cost of the project was £1,000 plus £445 from club funds

Rugby Juniors Triathlon Club
• Sports Grant of £1,000 awarded
• Grant was for 6 weeks of open water swim coaching
• The objective was to deliver a new training programme over summer 2018 to increase the confidence, knowledge and skills of the Rugby Junior Triathlon
Club Athletes in Open Water Swimming and to develop the coaching skills of the team so that they can better support talent development at the club.

- The objective was achieved by providing swim coaching for the club coaches, obtaining Level One coach qualification and offering extra swim sessions for the juniors at Rugby School. Additionally, 80% of Junior members competed in the Sandwell open water triathlon and one of the Juniors was selected for the West Midlands Talend Pathway.
- The project had a very positive impact on the club.
- The overall cost of the project was £1,000 plus £453 from the club funds.

**Rugby Shakha**

- Sports Grant of £500 awarded.
- The grant is for volleyball and netball sessions.
- The planned objectives were to get some of the younger members to improve and take part in different sports outside of their normal school environment.
- The objectives were achieved as two 12-week sessions were delivered to learn the basic skills of Volleyball and Netball.
- The key benefits were that it provided a learning curve for the children who have never played this type of sport before and this encouraged children and adults to be more active.
- The group did not encounter any difficulties with the project.
- The cost of the project was a £500 grant and volunteers made up the shortfall to continue with the project and will continue to be ran by voluntary funding each week for the hall hire.

**St Andrews Football Club**

- Sports Grant of £900 awarded.
- The grant was for the Rugby Football Union Level 2 Coaching Course.
- The planned objectives were that The Rugby Football Union operates an accreditation scheme whereby clubs within the union must seek accreditation to operate under the Union’s rules one of which is to ensure that coaches of their junior section are suitably trained and experienced to ensure that the players under their control have the best possible instruction.
- The nominated coaches completed the course and are using the learned skills with the club mini and junior sections and volunteers.
- The biggest difficulty was to match coaches with available course dates in this area.
- The cost of the project was £900.
- The trained coaches will cascade their knowledge to volunteers and helpers who will in turn ensure the young players get the best of tuition.

**Rugby Swimming Club**

- Sports Grant of £1,000 awarded.
- Grant was for the purchase of 8 Backstroke Wedges.
- The objectives were to enhance quality and the range of training that the club delivers and also provide the club and the wider community with the latest...
modern technology that would help attract even more swimmers from further afield to the meets that the club holds within Rugby Borough.

- The project has achieved their objective and has benefitted many of the club’s swimmers.
- The project has benefitted around half of the swimmers at the club and the wedges have yet to be used by the younger members whilst the older swimmers familiarise themselves with the equipment.
- There will be a continuation of the project as it has been a success, the club will be purchasing more of the same model of backstroke wedge for use by members of the club.
- The total cost of the project was £1,000. The cost of the wedges was slightly higher than initially thought. At first, the group bought 2 wedges at a cost of £360 and later used the remaining funding along with club funding to purchase further 4 backstroke wedges.

**Rugby Town Junior Football Club**

- Sports Grant of £450 awarded
- Grant was to create an indoor football club
- The objective was to create a new group for boys and girls aged from 2 to 4 attending indoor sessions on a weekly basis.
- The objective was achieved – there are 20 children attending the training on a weekly basis.
- The benefit was that it provided the club with more members
- The club encountered no difficulties in the project
- The total cost of the project was £450, and any additional costs were covered by the club
- Now a fee is charged for players to attend and the fee pays for hall booking and equipment as well as kit. Players will be allocated places at the club into Reception and then into the Under 7s to play in leagues.

**Church Lawford Village Hall**

- Youth and Play Grant of £1,000 awarded
- The grant was to create a healthy and active community stay and play group
- The objective of the project was to encourage healthy lifestyles and to invest in active play equipment for active learning and to provide a safe place for young children to play, interact with others and develop social skills
- The equipment enabled the group to achieve their objective and they have managed to attract many families to attend the group
- The group is now both sustainable and successful which means they can afford rent costs etc
- The group encountered no difficulties in the project
- The cost of the project was £1,000 which was £100 more than the budget and this was funded through additional donations
- The group will continue to run as it is now sustainable
Long Lawford Methodist Church

- Youth and Play Grant of £1,000 awarded
- The grant was to create a family outdoor space
- The objective was to provide a safe outside area for families to enjoy
- The objective has been achieved and a safe and welcoming space has been created by erecting a fence (funded by LLMC) and providing picnic benches funded by the grant.
- The improved space has been well used by all the groups using the church facility.
- The only difficulty with the project was the late payment of the grant
- The cost was £2,400 in total of which £1,400 was funded via the Methodist church
- The benches were purchased at a lower price of £720; the remaining £280 is intended to be used to provide more equipment e.g. sand pit.
- The group will continue to develop the area – the next step will be creating a ‘Wild Garden’.

The Bradby Club

- Arts Grant of £600 awarded
- The grant was for a centenary art project
- The planned objective was to celebrate 100 years and involve young people channelling negative behaviour into something positive
- The objective was achieved, and many youths engaged and social cohesion was created
- The long terms benefit of the project is that the community will gain a sense of identity and belonging as the majority of people in the area have used the club at some point in their lives
- There were no difficulties encountered in the project
- The anticipated cost of approximately £1,000 was accurate, they received £600 through the grant and do require additional money to complete the project to conduct the art work internally in the building as the funding was used to do the artwork outside of the building.
- The project will continue with the left-over funds

Rugby Methodist Church

- Youth and Play Grant of £1,000 awarded
- The grant was for the Summer Holiday Adventures for Families Project
- The main objective of the project was to put on some family sessions during the summer holidays specifically targeting families who are at risk of isolation and who are unable to afford a summer holiday or outings. As part of the sessions, families will be offered suggestions and resources for activities and crafts they can try in the time between sessions.
- The objective was achieved, and they put on 2 sessions a week for 5 weeks of the summer holiday
- 28 families took part and benefitted from the project
• The only barriers they faced was the difficulty in trying to reach more families who would have benefitted from the scheme although we did invite via foodbank (including 2 women’s refuges), local agencies and schools.
• The total cost of the project was £1,102 (£102 over budget towards reunion event in October)
• The group will continue to be ran

Benn Partnership Centre
• Arts Grant of £1,000 awarded
• The grant was for the community cohesion through art project
• The main objective of the project was to provide an artist led art activity at the Benn Partnership Centre on Railway Terrace, Rugby. Participants were given the opportunity to create artwork to be displayed at the centre offering the opportunity for intergenerational collaboration and social engagement across the community.
• The objective was achieved by running a 12-week course consisting of 2 hourly open access arts and crafts sessions, the sessions were led by an artist trained to MA level in fine art and with experience providing arts and crafts workshops across a wide range of ages and abilities
• The project had a number of success stories that made a difference to the local target community on both an individual and wider scale.
• The main anticipated barrier was a lack of participants however they were able to mitigate this by advertising in the local area and managed to attract a core group of members to ensure that the project was sustainable
• The total cost of the project was £1,000
• They have been able to secure funding for the project until the end of the academic year and are currently looking at funding opportunities to extend this further in the future.

Wolston Parish Council (Wolston Youth Club)
• Youth and Play Grant of £409.79 awarded
• The grant was to assist the Wolston Youth Club
• The main aim of the grant money was to enable youth workers to improve the quality of the existing sessions that they delivered
• The objective was achieved although it has not been fully delivered yet, several courses have been ran and there has been a warm reception to each.
• Implementation for the project was delayed as the demographics of the youth club membership changed suddenly in mid 2018 with many new young members signing up and also a member of staff resigning at the same time
• They spent more than the grant awarded because of the changes in need, prices and specifications, the extra amount was funded by Wolston Parish Council
• The project will continue with full support and funding from Wolston Parish Council, hopefully supported by part external funding as soon as the Youth Club is established as a CIO.
Willoughby Cricket Club

- Sports Grant of £850 awarded
- The grant was for the redevelopment of the outdoor training nets
- The planned objective was to replace and overhaul the surface and netting of the club's outdoor training net area which had suffered wind and tree damage to allow members of all ages to continue to train/practice and socialise – This objective was achieved
- The benefit was that the practice area has now been completely refurbished
- The only constrain was the resource availability as specific expertise were required for some stages
- The total cost of the project was £3,500

Brinklow Scout Group

- Youth and Play Grant of £535 awarded
- The grant was for archery equipment and instructor training
- The project aims were to enable young people to experience archery, which will help them develop concentration and patience and understand the importance of safety and discipline. These aims were achieved.
- The project benefited over 30 young people and can be expected to help many more in the future.
- Additionally, 2 new volunteers were recruited and retained.
- The difficulty was to arrange suitable locations for the archery
- The total cost of the project was £539
- The project will continue. The equipment will need replacing and new instructors may need to be recruited from time to time.

Overslade Community Association

- Youth and Play Grant of £480 awarded
- The grant was for a range of summer activities for children in the park
- The objective was to provide a series of summer fun activities for primary school children and children in the age range 11-16 offering safe, supervised activities for children who may not have access to family holidays – This objective was achieved.
- The children had a wonderful time and the activities were well received, young volunteers had training in leadership skills, teamwork, planning, organisation and child protection
- There were no difficulties during the project
- The total cost of the project was £1,800
- The project will continue to run and has been ran annually for 25 years with support from the council and local charities

Newbold Chapel

- Youth and Play Grant of £1,000 awarded
- The grant for was the Newbold Youth Club
- The grant was used towards sessional workers for Newbold Activity Club, who have provided weekly sessions at The Chapel Newbold. The group has been
delivered successfully by Rugby Play Rangers, attracting local children aged 3-13yrs old, including some from disadvantaged backgrounds. It also helped enable further funding to be secured towards rent, thus helping with longer term sustainability of the group.

**Wolvey Youth Club**

- Youth and Play Grant of £335.21 awarded
- The grant was for the Building Bridges Supporting and Developing Membership Through Partnership Project
- The grant was used to offer activities and trips to Youth Club and Scout Group members. The programme of activities included outdoor events at 5 Ways Lakes, Roller Disco at Hinckley Leisure Centre and Escape Reality at Coventry.
- The project contributed to increasing the number of young people taking part in a sleepover event at the Village Hall
- The group will continue to offer opportunities on alternative nights to enable their members to continue to be involved in Youth Club and the Scout Group.
- The cost of the project was £335.21

**Michaela McMillan**

- Arts Grant of £1,000 awarded
- The grant was for the Polish Pajaki Chandelier Project
- The objective of the project was to work with the Polish School to create a Pajaki (Paper Chandelier) based around polish cultural heritage
- The objective was achieved, a giant chandelier was created 2.5 meters in height and is hanging in the foyer of the Rugby Art Gallery and Museum
- All 90 children enrolled in the Polish School were involved and the classes got great feedback
- The project stalled slightly due to a change in personnel at the school
- The total cost of the project was £1,000

**Rugby Filmmakers Collective**

- Arts Grant of £1,000 awarded
- The grant was to create Art Immersion – a feature film
- The aim was to create a feature length film with the action taking place in a cinema bringing together local people keen to gain more experience and skills to create a high-quality film which will then be distributed locally, nationally and globally online
- They were unable to complete the project in the desired form, they were however able to create a production trailer in order to seek more funding to complete the project. There is no record of their having requested our consent to the variation in the project scope.
- The benefit was that it allowed local people to showcase their skills and give makeup artists and actors the chance to be part of a film
- The group ran into a few issues when let down by a member of the group half way through production
The total cost of the project was £7,100
The project with more funding from other sources will be sustainable as it will primarily live online. The project is as yet incomplete.

**St Andrews Church**
- Arts Grant of £1,000 awarded
- The grant was for developing their capacity for the arts
- The objective was to develop their capacity for hosting high quality professional arts activities at St Andrews Church, bringing new opportunities to the town of Rugby and neutering new audiences, accessibility and appetite for the arts
- There were no difficulties encountered during the project
- The total cost of the project was £1,000
- The project has developed their capacity and through developing new audiences, they are able to curate a multi arts programme for the next year ahead

**Long Lawford Community Association**
- Arts Grant of £1,000 awarded
- The grant was for the Pride of Long Lawford Project
- The objective was to research the history of Long Lawford and create a permanent display in a public area with a supporting website that depicts the heritage of the village and its people, it aims to create awareness and pride in the local community and promote community cohesion
- There has been a great deal of interest and different individuals in the community pulling together to help with and provide information in the research which has created positive feedback. The next stage is to pull this work together into a finished display, and this requires direction setting
- The project has benefitted the residents of Rugby and individuals will be contributing their time and talent and found it a rewarding experience
- The availability of project leader and some key people has meant the project has slipped. The community association has active support from local councillors and have appointed a new project lead - Andrew Bearne
- The total cost of the project was £1,000

**Monks Kirby Village Hall**
- Grant awarded £7364 from the rural development fund 2018/19 for improvements to the village hall, including heating, refitting of emergency doors, making good of external brickwork and access step.
- Total cost of works £14,400 (match funded by the PC)
- The installation of the gas central heating was less than anticipated and, after discussion with RBC, the excess money was used to complete the external slabbing adjacent to the new fire doors.
- The project has the potential to benefit the whole community. The event that were held over the early parts of 2019 were well attended with in the region of 60 people on each of four occasions.
- The Village hall has an updated and efficient heating system and additionally, the new safety doors meet H&S requirements for a public facility.

**Warwickshire Rural Community Council**
- RDF grant of £9,235.00 awarded
- The grant was to provide a Dial-a-Ride service within the rural communities of Rugby Borough
- Dial a Ride was launched in mid January 2019
- The goal of the service was to provide transport for between 7-10 passengers per day
- The service is available to all, but the majority of users are either elderly or have disability.
- In summer 2019 the service was planning to employ a part time office-based Co-ordinator to ensure the growth of the service.

**Willoughby Parish Council**
- Rural Development Fund of £6,466.00 for replacement of children swing facility in the Village Playing Field
- Total cost of works £9,930 (much funded by PC and Willoughby Educational Foundation grant)
- The key success of the project is a safe play facility for the children as the old swings were timber and becoming unsafe
- The project has benefited all the children who come to use the Village Playing Field
- The swings will be available for long term use by future generations of children

**Comments**

The verification of spend has ensured that audit requirements are satisfied. The evidence suggests that the grants have supported a number of local community initiatives, as intended.

The projects where delays have been noted in receiving grant have almost entirely down to insurance confirmation and grants acceptance forms not being returned. This will not be an issue going forward as the acceptance process has been rolled into the on-line application process. The evidence of insurance is also required at the point of application, along with confirmation that the insurance will be maintained for the duration of the project.

The grants guidance notes will be updated for 2020/21 to make it clear that if grant recipients wish to materially amend their projects, for which they are in receipt of grant funding then they must seek permission first.
Rugby Lotto – Eligibility Criteria

We want to enable as many local not-for-profit organisations as possible to join the good causes Rugby Lotto, established by Rugby Borough Council. The good news is that there is no joining fee – but we do need to be satisfied that your organisation meets the following requirements.

Who can apply to be a good cause with Rugby Lotto?

- Community/voluntary organisations
- Arts groups who engage communities in creative activities
- Sports organisations (officially recognised by Sport England or by a national disability sports organisation)
- Parish councils (within the borough of Rugby)
- Not-for-profit organisations
- Charitable organisations
- Faith organisations
- Parent/Friend Associations of schools and academies may apply where properly constituted independently from the school.

Who cannot apply to be a good cause with Rugby Lotto?

- Schools and academies
- Statutory or profit-making organisations (with the exception of parish councils within the borough of Rugby)
- Political organisations
- Individuals

To be eligible to apply to be a good cause you must:

- Agree to spend proceeds from the Rugby Lotto on activities or services that benefit the residents of Rugby
- Not use funds raised via the lottery to promote or provide political or religious activities
- Have established governance arrangements, set out in a formal/signed constitution; or standing orders; or a Memorandum of Association
- Have a bank account in the organisation’s name
- Have ongoing adequate insurance cover for the activities of the organisation, including a minimum of £5m of public and products liability insurance
- Adhere to equalities principles with a policy or statement in place
• Have a safeguarding policy and procedures for children, young people and/or vulnerable adults

• Have a Health and Safety Policy

• Provide proof of data protection registration, where appropriate

• Comply with the Data Protection (Charges and Information) Regulations 2018

• Inform Rugby Borough Council immediately if the organisation/group intends to disband, changes its aims, legal status or any issue(s) that may affect its eligibility for the scheme

The council reserves the right to:

• Reject any application to apply as a good cause for any reason.

• Carry out any checks to ensure that the required governance, policies and insurances are in place at application stage and at any time whilst the organisation is registered as a good cause

• Not accept, or cease to license, any organisation with a minimum of 7 days’ notice for any reason. However, if fraudulent or illegal activity is suspected cessation will be immediate.
Organisations signed up to Rugby Lotto as at 24 January 2020

Age UK Coventry and Warwickshire – The Claremont Centre
Benn Partnership Centre
Bilton Bowls Club
Bilton C of E Junior School Association
Brandon Trust
Clifton Primary School PTA
Dunchurch Band
Friends of Bawnmore
Friends of Fenley Field – FenleyField.org
Friends of Long Lawford School
Friends of Wolston St Margarets PTA
Hope4 (Rugby) Ltd
Jaide’s Stage Studios Ltd
Leam Valley Community First Responders
Overslade Community Centre
Pawprints Dog Rescue
RoSA
Rugby Autism Network
Rugby Borough Neighbourhood Watch
Rugby Bowling Club
Rugby Gymnastics Club
Rugby Lions Minis and Juniors
Rugby Lotto Community Fund
Rugby Parkinson’s disease Society
Rugby Racing Cycling Club
Rugby Take Heart
Rugby Town Girls and Ladies Football Club
Rugby Town Girls and Ladies FC
The Bradby Club
The Friends of the Hospital of St Cross
The Hill Street Centre
Warwickshire Choristers
Warwickshire Pride
WCS Care
Woodland Singers
## Communities and Homes working with the Voluntary and Community Sector (VCS)

<table>
<thead>
<tr>
<th>Name of group</th>
<th>Purpose</th>
<th>VCS partners</th>
<th>Group commissioned by</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rugby Homelessness Forum</td>
<td>Overseeing the development and implementation to tackle issues of homelessness in the borough</td>
<td>Hope 4; P3; St Basil’s; Together; Futures Unlocked and CGL.</td>
<td>RBC – CAST Manager</td>
</tr>
<tr>
<td>Rugby Homelessness Panel</td>
<td>Operational group which considers how to respond to the needs of individual clients impacted by homelessness</td>
<td>Hope 4; P3; St Basil’s; Together; Futures Unlocked and CGL.</td>
<td>RBC – CAST Manager</td>
</tr>
<tr>
<td>Warwickshire Financial Inclusion Partnership</td>
<td>Information sharing with a particular emphasis on financial issues that may impact on Warwickshire Residents.</td>
<td>EQUIP; CABs; WCAVA and the Trussell Trust</td>
<td>WCC – is the lead</td>
</tr>
<tr>
<td>Warm and Well in Warwickshire</td>
<td>To improve the energy efficiency of homes across Warwickshire to help identify and reduce fuel poverty and excess winter deaths.</td>
<td>Act on Energy CAB Age UK</td>
<td>WCC (Public Health) – is the lead&lt;br&gt;Communities and Projects Team Lead officer is a member of this group, along with representation from the other districts and boroughs in Warks.</td>
</tr>
<tr>
<td>Name of group</td>
<td>Purpose</td>
<td>VCS partners</td>
<td>Group commissioned by</td>
</tr>
<tr>
<td>--------------------------------------------------------</td>
<td>-------------------------------------------------------------------------</td>
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<td>----------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Warwickshire Armed Forces Community Covenant (split – operational and strategic) | Co-ordinate the implementation of the objectives of the Armed Forces Community Covenant by:  
• encourage local support of the armed forces community and vice versa  
• promote understanding and awareness of the issues affecting our armed forces community  
• recognise and remember the sacrifices made by our armed forces community  
• encourage activities to help the armed forces community integrate into local life | Royal British Legion; Veterans Contact Point; SSAFA; WCAVA; CAB and various Military charities | WCC – is the lead  
Communities and Projects Manager is a member of the strategic group, along with representation from the other districts and boroughs in Warks.  
Communities and Projects Team Lead officer is a member of the operational group, along with representation from the other districts and boroughs in Warks.  
Representation also in place from Warks Police; NHS; MOD; DWP; CCG and Church of England |
| Rugby Dementia Friends Communities Programme          | To ensure that Rugby is recognised as a dementia friendly town           | WAVA; EQUIP; Rugby Friendly Dementia Support Service                          | WCC – is the lead  
Equalities Officer from Communities & Homes is a member of the group |
**Report Title:** Employee Wellbeing  
**Name of Committee:** Communities and Resources Scrutiny Committee  
**Date of Meeting:** 3 March 2020  
**Contact Officer:** Suzanne Turner, Human Resources Manager, 01788 533570 or suzanne.turner@rugby.gov.uk  
**Summary:** Employee Wellbeing and Sickness Absence Management has a high profile within the Council. We aim to: provide employee wellbeing initiatives to improve the health of the workforce; manage absence in line with best practice; monitor and report on absence levels.  
**Financial Implications:** Cost of sickness absence for 2018/19 was estimated at £550,397. Poorly managed long term sickness cases could lead to compensation payments at an Employment Tribunal.  
**Risk Management Implications:** If employees are absent, this puts pressure on remaining colleagues. Continued absence can affect service delivery and achieving corporate priorities.  
**Environmental Implications:** None  
**Legal Implications:** Poorly managed absence cases could be challenged at an Employment Tribunal  
**Equality and Diversity:** Employees are defined as disabled under the Equality Act 2010 if they have a physical or mental impairment that has a 'substantial' and 'long term' negative effect on their ability to do normal daily activities. If a sickness lasts for more than 12 months then this will likely be regarded as a disability.
Summary

This report provides a progress report following the Communities and Resources Overview and Scrutiny Committee held on 5 September 2019. In addition, the report provides a reminder of the council’s Employee Wellbeing and Sickness Absence Management practices.

1. Introduction

Employee Wellbeing and Sickness Absence Management has a high profile within the Council. We aim to:

- provide employee wellbeing initiatives to improve the health of the workforce;
- manage absence in line with best practice; and
- monitor and report on absence levels.

At the Communities and Resources Overview and Scrutiny Committee held on 5 September 2019, the following information was requested as a progress report:

- The findings from the consultancy by WM Employers
- The action plan put into place to implement some of the recommendations from the WM Employers review
- Clarification regarding the two musculoskeletal cases where, during the accident investigation, the cause of the injury was not identified.
- Single days of sickness absence which fell on a Monday, Friday, adjacent to a Public Holiday or a period of annual leave.

2. Best Practice in Absence Management and Employee Wellbeing

Our Human Resources Business Partners are all members of the Chartered Institute of Personnel and Development (CIPD) and have access to branch events including absence management and employee wellbeing. The CIPD and XpertHR also run annual surveys on absence levels, which are useful for benchmarking.
Our regional employers’ organisation, West Midlands Employers, also runs projects and networking events to establish and share best practice around absence management and employee wellbeing. For example at the last networking event, a speaker from National Grid spoke about the initiatives introduced that helped lead to a reduction in sickness absence. All of these initiatives are either already in place or due to be implemented within Rugby Borough Council.

In addition to this, we network with other district councils in Warwickshire and surrounding boroughs to share best practice. We also benchmark our sickness absence rates with this group at the end of each financial year.

We have recently signed up to apply for the bronze award of the regional Thrive At Work employee wellbeing standards. See Section 10 for more details on this.

3. Human Resources Strategy

Our Human Resources Strategy recognises the importance of employee wellbeing. Principle 4 is to Nurture Employee Engagement, Wellbeing and Diversity. Some of the actions highlighted in the Human Resources Strategy to support this work include:

- Facilitating health and wellbeing events
- Medical Intervention to get employees back to work sooner
- Reviewing reasons for sickness absence and identifying how we can improve employee wellbeing eg offering flu vaccinations

4. Absence Management Policy

We have an Absence Management Policy, attached at Appendix 1 that is reviewed every three years or more frequently if changes are required. Our policy draws on best practice, employment case law and service delivery needs. The policy covers management of both short term and long term sickness absence. To help understand the processes, a flowchart is attached at Appendix 2.

The policy covers the requirements for employees to notify their manager of their sickness absence and the need to maintain contact during their sickness absence.

Managers email a notification of the start and end of a sickness absence (called a Part 1 and Part 2 form, respectively) to the Payroll team. Sickness is logged onto our HR and Payroll system and can be viewed by both the employee and their manager.

Return to work interviews are carried out for all employees who are absent due to sickness. Wherever possible, these should be completed on the first day back at work. We have implemented the new Return to Work Interview form, as discussed at the committee meeting on 5 September 2019. The new Return to Work Interview can be found in Appendix 3. In the case of a longer-term absence, it is best practice to carry out the return to work interview before the employee is back at work. This enables management to be confident that the employee is fit to return, can put in
place under adjustments to aid their return and put into place any monitoring or review of the employee’s health. These are monitored and managers are chased where return to work interview forms are not returned to Human Resources. For September – October 2019, we had a 97% completion rate for Return to Work Interviews.

We have the following triggers to take short term sickness cases through the formal stages of our Absence Management Policy:

- 3 or more occasions in a 6-month period
- 4 or more occasions in a 12-month period
- 8 days or more in a 12-month period

The first formal stage of our procedure is a Sickness Consultation Interview. At this meeting, the employee will usually be given a written warning that they need to improve their attendance record. Much work has been undertaken with managers and our trade unions to ensure warnings are given unless there are exceptional circumstances. HR have produced management guidance on when discretion may be appropriate and that any decision not to give a formal written warning must be approved by the Head of Service. Targets for future sickness absence will be set and arrangements for monitoring and review will be outlined. The employee will be encouraged to improve their health and wellbeing and managers check that they are receiving all appropriate medical advice and support.

Should the employee continue to have an unsatisfactory level of sickness absence, then the case will be escalated to a Stage 2 meeting under our policy. The format of this meeting is similar to the Sickness Consultation Interview but a final written warning will usually be given.

If the employee continues to have an unacceptable level of sickness absence then the final stage of our policy is invoked. These Stage 3 meetings are usually held with the Head of Service, as the likely sanction will be dismissal.

Our Absence Management Policy mirrors our Disciplinary Policy and Capability Policy in terms of levels of warnings and management can deal with a combination of absence, conduct and performance, together under any one of these policies.

The management of long term sickness cases is a different process. If an employee’s sickness absence impacts significantly on service delivery, then, for reasons of business needs, dismissal is considered. Key factors that are considered in these decisions include:

- Length of absence – we need to make consistent decisions across the council
- Medical advice – is the employee unlikely to be fit to return to work in a reasonable timescale or are they not able to carry out the full remit of their role within a reasonable timescale? Legal advice is that the reasonable timescale must be the end of their sick pay period at the earliest.
- Consider redeployment – would they be fit to return to a different role?
We do, however, have a good track record in supporting employees back to work following a long term sickness. We also have 26.1% of our workforce that have a disability.

For employees returning from a long term sickness, we often agree a phased return, which could include reduced working hours/days and/or restricted job duties. The aim is to gradually increase the working hours and job duties, so the employee has a greater success in sustaining their return to work.

An internal audit in March 2019 reviewed the effectiveness and efficiency of our absence management processes. This gave a Substantial level of assurance.

5. Occupational Health Advisors

The council re-tendered their occupational health contract earlier this year and a new occupational health provider has been working with the council since July 2019. This provider holds a clinic at the Town Hall once or twice per month. They offer both telephone and face-to-face consultations. They have access to nurse practitioners and doctors.

They offer a variety of services to the council including:

- Pre-employment checks
- Referrals for advice on existing employees who have a medical condition
- Obtaining reports from GPs and Consultants
- Health surveillance eg audiometry tests
- Vaccinations eg Hepatitis
- Health at Work events
- Assessments for ill-health retirement within the Local Government Pension Scheme

Managers are able to ask specific questions in occupational health referrals to help make decisions about the employee’s continued absence. A HR Business Partner will brief the occupational health adviser on the cases prior to the clinic and there is a de-brief from the adviser at the end of the clinic.

We also use our occupational health advisors to carry out early referrals by telephone for employees absent due to musculoskeletal injuries or mental health issues. This can be useful to signpost employees to seek appropriate support, medication, physiotherapy and scans or other tests.

Quarterly account management meetings are held with our provider to ensure we get the service we need and find out about new services that are available. Our new Occupational Health advisors have given a presentation to our Corporate Management Forum and to our Senior Management Team – thus increasing engagement with occupational health throughout RBC management.
6. **Medical Interventions to Get Employees Back to Work Sooner**

As part of a review of our employment terms and conditions in July 2017, we established a budget to be used for medical interventions to aid employees to be able to return to work sooner. This has included physiotherapy and medical tests, where there would have been a longer wait for NHS services. In 2018/19, we paid for 13 medical interventions to help employees return to work earlier. This is mainly physiotherapy but did include paying for a scan to be carried out privately thus moving this employee’s care through the NHS potentially by 13 weeks earlier. We continue to offer counselling to our employees where it cannot be sourced via the NHS or in a short term arrangement whilst NHS funded counselling is put into place. Employees are signposted to specialist counselling organisations eg for bereavement counselling. In 2018/19, 41 employees accessed our counsellor to improve mental wellbeing.

We support employees with a drug or alcohol dependency. There are many organisations such as Change, Grow, Live that we can signpost our employees to.

7. **Reducing our Sickness Absence Rates**

Our sickness absence rates are currently high when benchmarked against similar organisations. Currently these are:

<table>
<thead>
<tr>
<th></th>
<th>Average Number of Sickness Days per Employee (Oct 2019)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Term Sickness</td>
<td>4.7</td>
</tr>
<tr>
<td>Long Term Sickness</td>
<td>9.5</td>
</tr>
<tr>
<td>All Sickness</td>
<td>14.1</td>
</tr>
</tbody>
</table>

These rates are high compared to other benchmarking information:

- **XpertHR Survey 2018 for central and local government:** 8.7 days
- **Neighbouring councils 2017/18:**
  - Short Term: 3.6 days
  - Long Term: 6.7 days
  - All Absence: 9.5 days
- **WM Employers Review 2019:** 8.7 days
- **LGA Workforce Survey 2017/18:** 8.6 days
- **ONS for Public Sector 2018:**
  - Non-manual: 7.3 days
  - Manual: 9.8 days

However, we have identified there is a significant difference in absence rates amongst our employees in manual roles compared to those in office roles, as follows:

<table>
<thead>
<tr>
<th></th>
<th>Average Number of Sickness Days per Employee (June 2019)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manual Roles</td>
<td>25.7 days</td>
</tr>
<tr>
<td>Non-Manual Roles</td>
<td>7.4 days</td>
</tr>
</tbody>
</table>
52% of our workforce are male (and they form a significant portion of our manual workforce) yet they account for 69% of our sickness absence. (Data for year to June 2019)

There is also a correlation between sickness absence rates and age:

<table>
<thead>
<tr>
<th>Age</th>
<th>Average Number of Sickness Days per Employee</th>
<th>% of Age Group with a sickness absence of over 3 months</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-25</td>
<td>8.2</td>
<td>0%</td>
</tr>
<tr>
<td>25-35</td>
<td>12.9</td>
<td>1%</td>
</tr>
<tr>
<td>35-45</td>
<td>9.3</td>
<td>1%</td>
</tr>
<tr>
<td>45-55</td>
<td>11.1</td>
<td>1%</td>
</tr>
<tr>
<td>55-65</td>
<td>19.9</td>
<td>5%</td>
</tr>
<tr>
<td>65+</td>
<td>41.0</td>
<td>20% (1 out of 5 employees)</td>
</tr>
</tbody>
</table>

Further analysis of our sickness data for the year to June 2019 shows that sickness rates are lower amongst: BME employees, employees working part time and employees on higher grades. This is probably due to there being a low representation in these categories of employees in manual roles. Employees in managerial roles have a higher level of engagement (eg higher ratings in employee surveys for job involvement and job satisfaction) so we would expect to see lower levels of sickness absence.

<table>
<thead>
<tr>
<th>Ethnicity</th>
<th>Average Number of Sickness Days per Employee</th>
<th>Working Pattern</th>
<th>Average Number of Sickness Days per Employee</th>
<th>Grades</th>
<th>Average Number of Sickness Days per Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>BME</td>
<td>8.0</td>
<td>Full Time</td>
<td>14.5</td>
<td>A-D (Manual and Admin)</td>
<td>18.4</td>
</tr>
<tr>
<td>White British</td>
<td>13.7</td>
<td>Part Time</td>
<td>8.7</td>
<td>E-G (Professional)</td>
<td>8.7</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>H-K (Management)</td>
<td>1.7</td>
</tr>
</tbody>
</table>

There is a strong desire within RBC management to reduce our sickness absence rates.

Our Human Resources Business Partnering model has established monthly meetings with all managers and Heads of Service to discuss their employee issues. This includes a review of the sickness cases within their teams. The monthly meetings between Manager and their HR Business Partner have, according to a recent internal audit, been working extremely well and all parties feel it is time well spent.

Through monitoring, and chasing, of return to work interviews and sickness consultation interviews, we are more rigorously progressing employees through the formal stages of our Absence Management policy.
We have a good record of getting employees, with a long term health condition, back to work. In the year to June 2019, we facilitated 57 employees on long term (of more than two months) back to work, out of 76 cases, ie 75%. We have progressed long term absence cases through our Absence Management Policy to the dismissal stage.

In July, we launched our Employee Recognition Scheme, ‘Praise’. Some of the Praise entries relate to employees and teams with zero or low sickness absence rates.

8. Wellbeing Appointments

We give employees time off to attend wellbeing appointments. These include mammograms and prostate checks.

9. Wellbeing Events

We have run a number of different wellbeing events and initiatives. Some examples include:

- Health at Work Days – staff can drop in during the working day to get advice on a range of wellbeing initiatives and get health checks eg blood pressure tests.
- Access to a dietary advice website with daily tips emailed to employees
- Health Checks offered at low cost and on site eg bone density, cholesterol checks
- Weight Loss groups
- Tasting Table and Hydration Station
- Menopause Awareness
- Mental Health Awareness Sessions
- Walking Football
- Sleep Workshop

10. Thrive at Work Survey

Thrive at Work is a regional initiative to improve standards of employee wellbeing provision. Rugby Borough Council are working towards the Bronze Award.

In July and August, we carried out the employee survey from this initiative. Presentation slides of the feedback from the survey are included in Appendix 4. Key feedback on the health issues our employees most commonly have is:

| Feedback from Thrive at Work Employee Survey – Most Regular Health Needs |
|-----------------------------|--------------------------|
| Stress                     | Healthy Eating           |
| Healthy Eating             | Musculoskeletal Conditions|
| Musculoskeletal Conditions | Managers need to be better at spotting stress in their employees and supporting them. |
The recommended actions identified are:

### Actions from Thrive at Work Employee Survey

<table>
<thead>
<tr>
<th>MIND Wellness Action Plans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and Wellbeing Events ideally tailored to needs identified in the survey</td>
</tr>
<tr>
<td>Consider use of Wellbeing Apps such as Happy Feed</td>
</tr>
<tr>
<td>Encourage Inter-service events eg Walking Football</td>
</tr>
<tr>
<td>Encourage managers to be more aware of their team’s mental health – through use of Wellness Action Plans across whole teams; further mental health training for managers.</td>
</tr>
</tbody>
</table>

### 11. Mental Health Support

We recognise that mental health conditions are increasing nationally. Stress, depression and anxiety is our second highest reason for sickness absence.

Every year we run training courses for employees to help build emotional resilience and offer strategies to help their mental health. We have also run training courses for managers to help them support their employees that have mental health conditions. We are currently organising training for managers on having appropriate wellbeing conversations with employees and also helping managers to spot signs of stress. Whilst managers do have a responsibility to spot stress in their direct reports, there is a wider ownership for everyone to spot signs of increasing stress in their colleagues. All employees experiencing stress are offered a Wellbeing Assessment (based on a MIND pro forma) and are offered support through a trained counsellor.

Managers hold regular 1:1 support and supervision sessions with employees. A template is used for these 1:1 meetings. The first item on this template is to ask the employee how they are feeling. It is an open question and will encourage employees to be open about any mental health issues and how they are coping with their work. We also seek to gain employee engagement through regular team meetings and, for our manual workforce, regular tool box talks. A template is provided for managers to structure their team meetings.

This year we supported a Mental Health Awareness event around suicide, particularly amongst men. We promoted a “Wear your Team Colours” day and asked employees to wear a football shirt to work. The money we collected went to CALM. We put information about how to support a colleague on SharePoint as well as other mental health info. This was also promoted as MHFAs went around teams to collect money. In addition we ran a Walking Football competition and promoted Mental Health and Suicide Awareness at the event.

We have established a group of Mental Health First Aiders (MHFAs), who have completed appropriate training. Employees will be able to meet with a Mental Health First Aider to get support and advice on their mental health. As of January 2020 our MHFAs have been used 43 times with most conversations being 30 minutes or less. Overall between July – September there had been 37 hours of recorded MHFA time. 37% of those conversations were around high workloads and being overworked. 67% of conversations focused on stress/ anxiety/low mood (work, non-work or a mixture of both).
12. **Including Councillors in Wellbeing Events**

All of our wellbeing events are promoted on SharePoint which Councillors can access and are welcome to attend.

13. **WM Employers Consultancy Review of our Absence**

The report by WM Employers of this review is attached at Appendix 5. The summary information is as follows:

13.1 **Sickness Benchmarking with Other Councils**

Following a survey sent out by WM Employers, 20 councils gave their sickness data. The average number of days absence was 8.7 (compared to our rate of 14.1 days as at October 2019) over all these councils. Only four councils provided data specifically on their manual workforce and this showed an average of 13.1 days (compared to 23.3 days as at June 2019 for RBC).

13.2 **Sickness Absence Triggers**

WM Employers found that:

70% use days and occasions as sickness triggers – similar to RBC
30% use the Bradford Factor (a multiplication formula looking at no of days and no of occasions)

13.3 **Sick Pay Schemes**

Of the 20 responses to the survey, only two councils had made changes to the national sick pay scheme for local authorities.

One council had implemented no sick pay for the first three days of sickness absence. It was reported that other councils have tried this in the past but have discontinued it as not being effective.

The other council had stopped access to the flexitime scheme and overtime for employees hitting sickness triggers. They also introduced one day leave for 100% attendance.

13.4 **Top Reasons for Absence**

These were identified as:

<table>
<thead>
<tr>
<th>Top</th>
<th>Reason for Absence – from WME survey</th>
<th>Reasons for Absence from LGA Survey</th>
<th>Reason for Absence - RBC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Stress</td>
<td>Stress</td>
<td>Musculoskeletal</td>
</tr>
<tr>
<td>2</td>
<td>Musculoskeletal</td>
<td>Musculoskeletal</td>
<td>Stress</td>
</tr>
<tr>
<td>3</td>
<td>Gastro</td>
<td></td>
<td>Recovery from Surgery/Treatment</td>
</tr>
</tbody>
</table>
RBC may have higher absences due to musculoskeletal injuries due to having a significant manual workforce. Absence rates for our manual workforce seem to double at around age 55 years.

13.5 Interventions to Reduce Sickness Absence

The report concludes the interventions introduced to reduce sickness absence are broadly similar to those at RBC. RBC have also recently introduced some innovative practices to improve wellbeing eg Mental Health First Aiders; paying for medical interventions.

13.6 Recommendations

- RBC may like to target medical interventions to address particular issues, for example within our manual workforce. Further analysis of our sickness data may show further trends.
- RBC should analyse the effectiveness of the interventions already put into place.
- RBC should consider if applying our absence management policy with considerable management discretion is being successful in reducing absence or should RBC more consistently apply our Absence Management Policy to give formal warnings.
- Use data from the Thrive survey and our employee survey to feed into a Wellbeing Strategy.
- Review our Absence Management Policy and our sickness triggers in particular. Survey managers as part of this policy review and ensure the new policy links to a Wellbeing Strategy.
- Involve our Trade Unions in discussions on sickness and wellbeing within the council, to improve engagement and shared ownership.
- Consider self-referrals by employees to our occupational health advisors.
- RBC should continue networking, seeking support from WM Employers and consider working in partnership with other councils.

14. Action Plan Agreed with Senior Management Team (SMT)

SMT have agreed the following action plan to implement some of the recommendations in the WM Employers report and other recommendations proposed by the HR Team. There are other recommendations in the WM Employers report that we will consider later.
<table>
<thead>
<tr>
<th>Ref to WM Employers Report</th>
<th>Recommendation</th>
<th>Proposed Timescales</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.14 and 3.16</td>
<td>Routine stress risk assessments (60%) And/or Individual Wellness Plans</td>
<td>Pilot by March 2020</td>
</tr>
<tr>
<td>4.5</td>
<td>If hit triggers: remove from flexi scheme, no O/T or TOIL</td>
<td>September 2020</td>
</tr>
<tr>
<td>4.9</td>
<td>Introduce a Wellbeing Strategy</td>
<td>December 2020</td>
</tr>
<tr>
<td>4.10 and 5.8</td>
<td>Regular communication/reporting on sickness with TUs</td>
<td>December 2019</td>
</tr>
<tr>
<td>5.3</td>
<td>Taking leave when sick should be reported on HR and Payroll system</td>
<td>September 2020</td>
</tr>
<tr>
<td>5.4</td>
<td>Probationary Period – consistent links to managing absence</td>
<td>September 2020</td>
</tr>
<tr>
<td>5.6</td>
<td>Review triggers – eg Bradford Factor</td>
<td>June 2020</td>
</tr>
<tr>
<td>5.6</td>
<td>Re-enter Absence Policy at previous level say 6 months after warning has expired</td>
<td>June 2020</td>
</tr>
<tr>
<td>5.7</td>
<td>Survey managers as part of reviewing our policy</td>
<td>April 2020</td>
</tr>
<tr>
<td></td>
<td>Launch of policy – briefings to both managers and employees</td>
<td>July 2020</td>
</tr>
<tr>
<td></td>
<td>Triggers for meetings with LT sick beyond the 4 weeks</td>
<td>May 2020</td>
</tr>
<tr>
<td></td>
<td>SMT Stats – show % change; cost of absence</td>
<td>June 2020</td>
</tr>
<tr>
<td></td>
<td>Case Conferences – for long term absence cases</td>
<td>April 2020</td>
</tr>
<tr>
<td></td>
<td>Measure impact/cost of interventions and events</td>
<td>For all future interventions</td>
</tr>
<tr>
<td></td>
<td>Improved communications about wellbeing benefits</td>
<td>December 2019</td>
</tr>
</tbody>
</table>

15. **Clarification on Two Musculoskeletal Injuries where the Accident Investigation was Inconclusive**

At the Overview and Scrutiny Committee on 5 September 2019, the HR manager circulated a list of absences due to musculoskeletal injuries.

There were two examples of one employee where the report stated: 'Accident investigation completed and unable to identify how this injury happened'.

A further update on these cases is that the employee claimed to have injured his back whilst pruning a bush outside the John Barford car park. The accident was investigated but it was unable to identify how the injury had been caused. The employee was alone at the time this happened and no witness were present. The employee continued to have other conduct and absence issues during their probationary period, so employment was ended.
16. **Single days of sickness absence which fell on a Monday, Friday, adjacent to a Public Holiday or a period of annual leave**

This data, for 2018/19, has been captured from our HR and Payroll system and then analysed further.

This data is as detailed below:

<table>
<thead>
<tr>
<th>Day</th>
<th>No of occasions</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monday</td>
<td>53</td>
<td>24</td>
</tr>
<tr>
<td>Tuesday</td>
<td>35</td>
<td>16</td>
</tr>
<tr>
<td>Wednesday</td>
<td>34</td>
<td>15</td>
</tr>
<tr>
<td>Thursday</td>
<td>41</td>
<td>18</td>
</tr>
<tr>
<td>Friday</td>
<td>62</td>
<td>28</td>
</tr>
<tr>
<td><strong>Total 1-day Absences</strong></td>
<td><strong>225</strong></td>
<td></td>
</tr>
</tbody>
</table>

This data shows there is a pattern of more odd days of sickness falling on a Friday, and, to a lesser extent, on a Monday. One explanation could be that some of these absences, on a Friday or Monday, were actually not just one day of sickness, but as the second and third day of sickness fell on a weekend, they are only showing as a single day of absence.

Looking at the data, there are 43 employees taking two or more occasions of single day periods of sickness absence. For these employees only, the days taken off are:

<table>
<thead>
<tr>
<th>Day</th>
<th>No of occasions</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monday</td>
<td>27</td>
<td>27</td>
</tr>
<tr>
<td>Tuesday</td>
<td>16</td>
<td>16</td>
</tr>
<tr>
<td>Wednesday</td>
<td>12</td>
<td>12</td>
</tr>
<tr>
<td>Thursday</td>
<td>19</td>
<td>19</td>
</tr>
<tr>
<td>Friday</td>
<td>27</td>
<td>27</td>
</tr>
<tr>
<td><strong>Total for the 43 employees</strong></td>
<td><strong>101</strong></td>
<td></td>
</tr>
</tbody>
</table>

This shows the 43 employees are no more likely to take a one day of sickness absence on a Monday or a Friday, when compared to all employees.

<table>
<thead>
<tr>
<th>Absence Adjacent to Annual Leave</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>No of cases</td>
<td>18</td>
</tr>
<tr>
<td>No of employees</td>
<td>17</td>
</tr>
<tr>
<td>Total 1 day Absences</td>
<td>225</td>
</tr>
</tbody>
</table>

**NB:** Currently no annual leave records are held on the HR and Payroll system for our manual employees, so the comparison to single days absence adjacent to a period of annual leave, only relates to office-based employees.
The absence which is adjacent to annual leave shows there is one employee, who has twice taken one day sickness adjacent to a period of annual leave. This employee has been given an informal warning at a Sickness Consultation Interview.

<table>
<thead>
<tr>
<th>Absence Adjacent to Public Holiday</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>No of cases</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>4% of all 1 day absences</td>
</tr>
<tr>
<td>No of employees</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>2% of employees</td>
</tr>
<tr>
<td>Total 1 day Absences</td>
<td>225</td>
</tr>
</tbody>
</table>

The proportion of public holidays plus the two extra council holidays compared to all working days in 2018/19 was 5%. So we would expect to see approx. 5% of absences to fall on adjacent days to public holidays.

**17. Conclusion**

Sickness absence data will continue to be reviewed as part of our usual monitoring. Where the data highlights issues or trends, we will review our procedures and policies accordingly. We will continue to benchmark against our peers at the end of each financial year. Sickness absence data is available on RPMS and accessible to all Members.
**Name of Meeting:** Communities and Resources Scrutiny Committee  
**Date of Meeting:** 3 March 2020  
**Subject Matter:** Employee Wellbeing  
**Originating Department:** Corporate Resources

**DO ANY BACKGROUND PAPERS APPLY** ☑ YES ☐ NO

**LIST OF BACKGROUND PAPERS**

<table>
<thead>
<tr>
<th>Doc No</th>
<th>Title of Document and Hyperlink</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Absence Management Policy</td>
</tr>
<tr>
<td>2</td>
<td>Absence Management Flowchart</td>
</tr>
<tr>
<td>3</td>
<td>Return to Work Interview Form (introduced in September 2019)</td>
</tr>
<tr>
<td>4</td>
<td>Thrive at Work – Presentation Slides of Survey Feedback</td>
</tr>
<tr>
<td>5</td>
<td>West Midlands Employers Consultancy Review of RBC Absence</td>
</tr>
</tbody>
</table>
Absence Management Policy & Procedure
ABSENCE MANAGEMENT POLICY AND PROCEDURE

POLICY

The Council recognises that the people who work for us are our most valuable resource. Without a committed workforce we cannot achieve excellence. The Council is concerned about its employees and seeks to protect the health and safety of the workforce by providing a safe environment. The Council does expect its staff to attend work if they are fit to do so. Equally if staff are sick we wish to manage that process to offer the appropriate support to enable a speedy return to restoring full health and a return to work. There are a number of benefits of achieving high attendance; it helps the Council achieve higher productivity and gives us the best chance of delivering high quality services; reduces stress at work when staff have to cover for sick colleagues; and low sickness levels create a better working environment.

To help the Council achieve this aim we expect employees to:

a) Care for their health and to seek medical help whenever appropriate. Staff who work under the flexitime scheme are expected to take medical appointments in their own time (see Flexitime Scheme details)

b) Not to be involved in activities whilst on sick leave which may inhibit recovery;

c) Attend for work whenever they are able to do so;

d) Co-operate fully with the application of this policy, and

e) Follow this procedure, when absent through sickness, and to keep their manager aware of the likely return date as set down by the policy.

f) Keep their manager informed of their situation until they return to work.

Managers should always treat sickness with sympathy and offer practical advice, but employees must be aware that extended or recurrent short-term absence or frequent long term absences will not be accepted and will lead to targets being set for improved attendance. If these interventions do not see an improvement in attendance this can result in dismissal on ill-health or attendance grounds.

In cases where the employee is absent because of an industrial injury, disease, accident or assault, the manager should disregard the sickness in relation to the trigger process.

SCOPE

This policy and procedure applies to all employees except those on a casual working arrangement. For staff within a probationary period, although some of the principles
will apply in cases of long term absence, it will be addressed through the Probationary Periods procedure.

Where ‘manager’ is referred to this could be the direct supervisor of the employee or a more senior manager.

If there is a mixture of misconduct, sickness or capability issues then all issues may be dealt with on a concurrent and combined basis, selecting the most appropriate procedure ie Disciplinary, Capability or Absence Management procedures.

PROCEDURES

1. REPORTING ARRANGEMENTS

Employees must contact their manager or nominated person within half an hour of normal starting time on the first day of sickness. For those employees who are delivering front line services and for whose absence requires the engagement of agency staff, it is essential that the earliest alert to their absence is given. This should be no later than half an hour after the normal starting time on the first day of sickness stating the reason for absence and expected date of return, where known. If unable to return to work when indicated, the employee must contact their manager again to ensure they are aware of the expected duration of the absence and to enable continued provision of services and the best use of agency staff.

When an employee does not report in, as set out above, or does not produce the required sickness certificates and has no good reason for not doing so, then pay for the whole day and for any other days will be stopped until the absence is reported properly.

It is important that employees contact their manager so that arrangements for work cover can be made. Only when this is not possible should a message be left with another person.

Half a day’s sickness absence will be recorded when more than 4 hours has been worked. However, if a pattern of these absences emerges the manager will address this as part of the discussion at a return to work interview.

Sickness of 4 – 7 days requires the employee to submit a self certification form. If sickness goes on for longer than 7 days including Saturdays and Sundays and Bank Holidays (5 working days) then a doctor’s statement from the GP must be produced. A doctor’s statement should also be produced when sickness is likely to be longer or shorter than anticipated. Contact should be maintained throughout the period of a sickness so that the manager is fully aware of the period of absence and can make arrangements to cover the work.

If the doctor’s statement gives the date when the employee is expected to be fit to return to work but the employee is not fit on that date, then the doctor must be consulted again and another statement obtained and the manager kept informed.
The medical statement must run concurrently and should be sent to the manager immediately.

Appointments should, wherever possible, be made with the least interruption to the working day e.g. beginning or end of day. Employees on flexitime should use flexitime credit to cover medical appointments. If an employee is undergoing regular treatment for a medical condition that is allowing them to continue working, time off with pay may be considered.

2. **INFORMAL STAGE**

**Return to Work Interviews**

Return to Work interviews are aimed at the welfare of the employee and welcoming them back to work. All employees, on returning from sickness absence, are required to complete and sign a Return to Work Sickness Form giving reason for that absence. The information collected will be used, not only to monitor absences, but also to identify any patterns or trends related to health and/or working conditions/environment. Also to check the need for or effectiveness of reasonable adjustments made under the Disability Discrimination Act 1995 (DDA) if the reason is impairment related. This form will be completed with the employee's manager who may also discuss the reason for sickness absence and whether there are any work related causes of this absence. This meeting will be held in private. The Management of Health and Safety at Work Regulations require the need to carry out or review risk assessments. Enquiry into possible work related causes of sickness absence might indicate a need to review risk assessments.

If the employee feels that the reason for absence is of such a nature that they do not want to discuss this with their manager, then they may inform their manager that they wish to see a Human Resources Officer. They will confirm the reason for absence and will enter 'personal and confidential' in the nature of sickness section and countersign it. Confidentiality will be maintained unless the health or safety of the employee and/or work colleagues or customers is an issue, when a report of the effect of the illness, not the nature of the illness, will be made to the employee's manager. The employee will be kept informed.

When the employee is getting close to reaching one of the Council’s sickness absence triggers (outlined in section 3) then the manager will warn the employee, usually in a return to work interview, that any further sickness absences may be progressed under the formal stages of this procedure.

3. **SHORT TERM SICKNESS ABSENCE**

Following all absences from work, a Return to Work interview will be held with the employee and manager. This will be an opportunity to consider whether any action can be taken in the workplace to alleviate a recurrence of the sickness or to support the employee in returning to work.

When a pattern of recurring short term sickness absence or an unacceptable level of sickness absence is identified, the manager will discuss this initially as part of the
Return to Work interview with the employee concerned. Where the employee is approaching the sickness triggers below, then the manager will remind the employee that if sickness triggers are met, then the issue will be progressed further in a formal Sickness Consultation Interview.

Copies of Return to Work Interview forms should be returned to Human Resources.

Short term sickness absence is usually defined as less than 4 weeks absence.

**Sickness Triggers**

The sickness triggers are used as a prompt for the Sickness Consultation Interview. These are as follows:

- 3 or more occasions in any rolling 6 month period.
- 4 or more occasions in any rolling 12 month period.
- 8 or more days in any rolling 12 months*.

Where the absence is related to a disability or pregnancy then advice should be sought from Human Resources, as a different approach may be appropriate.

* Long Term sickness absence is managed differently. See section 3 of this policy.

**FORMAL STAGES FOR SHORT TERM SICKNESS ABSENCE**

**Stage 1: Sickness Consultation Interview**

If sickness absences continue at a level that reaches the sickness triggers, then a formal interview will be held. This will be with the manager and a representative from Human Resources will usually be present. An employee will be given at least 5 working days notice (or a shorter period if agreed by both parties) of a planned Sickness Consultation Interview. Employees are entitled to be accompanied at this meeting by their Union Representative or colleague.

The purpose of the meeting is to encourage open discussion between manager and employee to consider the employee’s sickness absences. The meeting will aim to focus on employee health and welfare and on improvements in attendance. It will identify the reasons for absence and provide advice and support where appropriate. The employee will be supplied with the full details of their absences and will be given the opportunity to discuss the reasons for absence. Ways of reducing sickness absence will also be explored.

If there is an underlying medical problem which is causing the frequent short term sickness absences then it may be more appropriate to progress as a Long Term Sickness case. The manager should also use this opportunity to review the need for, or effectiveness of, reasonable adjustments as required under the Equality Act 2010 and the Disability Equality Duty, and to review current risk assessments, if appropriate. Guidance on legal requirements is available from Human Resources.
At this interview a first written warning may be issued. A copy of the notes of this meeting will be put on the employee’s personal file and the warning will remain live for one year, unless a pattern emerges which suggests abuse of the procedure. Further targets for improvement must be set and a review period planned. Regular contact must be maintained during this time so that all areas of work and health management can be taken into account. A referral to the Council’s Occupational Health Adviser can be used to help set reasonable targets where there is an ongoing medical problem and this may be used to help determine targets and adjustments needed. A Sickness Consultation Interview may need to be adjourned if further medical advice is required.

If sickness targets are met during the review period then this should be recorded and a copy placed on the employee’s personal file.

If sickness absence targets are not met within the review period a stage 2 meeting will be arranged.

**Stage 2 Meeting**

Arrangements for a stage 2 meeting are the same as for the Stage 1 meeting. Again the same issues will be considered and sickness absence targets set and any necessary support put in place for the employee. A representative from Human Resources would also be present. Employees are entitled to be accompanied at this meeting by their Union Representative or colleague.

The manager will warn the employee that if the performance standards are not met then the issue will be progressed to a Stage 3 meeting and that this could lead to dismissal. This warning is equivalent to a final written warning and remains live for two years.

If sickness absence, during the review period, is below the targets set then this should be recorded and a copy placed on the employee’s personal file.

If sickness absence targets are hit within the review period then a stage 3 meeting will be arranged.

**Stage 3 Meeting**

Arrangements for a stage 3 meeting are the same as for the Stage 2 meeting, but as dismissal is likely at this stage, the meeting will be chaired by a Head of Service.

* A Head of Service can delegate the authority to dismiss to another officer.

Possible outcomes to the Stage 3 Meeting include:

- Where there is clear evidence of unacceptably high sickness absence which has not been remedied, no reasonable explanation for continued high absence, and any management support offered has been seen through, termination of employment should be considered. This will be dismissal with notice.
• There may be reasonable explanation why management commitments to the employee relating to further support have not been delivered, or why the employee has continued to have high levels of sickness absence. In these circumstances a further final review period should be scheduled. If sickness absence continues at a high level then another stage 3 meeting will be convened.

**Salary Increments**

Annual increments are subject to satisfactory service with the Council. When an employee has a live written warning on their file for sickness absence issues then they will not receive an annual increment.

3. **LONG TERM SICKNESS**

Long term sickness is defined by a sickness period that goes on longer than 4 consecutive weeks.

**Maintaining Contact**

After reporting the original period of sickness and if an employee remains on sick leave they must continue to maintain contact with their manager. After a period of sickness of 4 weeks the manager will, with prior notice agreed with the employee, arrange to meet them. A note will be made of the meeting. When it is inappropriate for a manager to meet them a more senior officer from the service area or a member of the HR Team can substitute for them. Employees are entitled to be accompanied at this meeting by a Union Representative or colleague.

**Medical Advice**

A referral to the Council's Occupational Health Adviser is often made after 4 weeks sickness absence, but could happen at any appropriate stage. Employees are required to attend these appointments.

Other medical professionals or specialist advisers may also provide useful guidance on the employee’s absence and their return to work.

It is expected that the majority of cases are resolved through the advice of the Occupational Health Adviser and that a return to work is the outcome.

**Return to Work**

If an employee feels they are fit enough to come back to work before their doctor’s statement has expired, they should discuss this with their manager prior to returning. Where there is concern that the employee is not fit to return to work then the employee may need to see an Occupational Health advisor or their own doctor to be signed ‘fit to return to work.’ It may be appropriate for an employee to return to work early with some temporary adjustments to their role.
Following long term illness, the solution is often to allow for a phased return to work to allow the employee to start with a return based on a few hours and then to build up to full time over a given period. This is not normally more than three months. When someone is on no pay and returns to work, full pay is restored. It is important to have a medical opinion to support a phased return to work so that the health of the employee is fully taken into account.

Employees could return to work in any suitable role in order to get them back to work quicker. Where employees have a significant amount of Annual Leave, on returning to work, then they will be expected to use some or all of their Annual Leave to cover a phased return.

Consideration of Reasonable Adjustments

Management should consider whether reasonable adjustments can be made which would enable the employee to return to work. This could include, for example physical adaptations or specialist technology, or a re-organisation of the person’s role. Advice on this should be sought from Occupational Health advisers, the employee and other medical practitioners.

Accrual of Annual Leave

For absences of longer than 3 months, leave will be accrued at the statutory leave provisions only.

Redeployment

Management should consider if the person could be redeployed into another role which will not exacerbate their medical condition eg to a less stressful position for an employee suffering with anxiety. The Occupational Health adviser will indicate any medical restrictions applying to the search for an alternative job.

This option will depend on the availability of suitable posts and would be in line with the Council’s Redeployment Policy.

Ill Health Retirement

In cases of ill health retirement medical advice would be sought from the Council's Occupational Health Adviser. Final approval of ill health retirement, where an early pension payment may be made to the employee, rests with the pension scheme.

Employees who have been dismissed due to ill health and have not been granted retirement on the grounds of ill health have a right to appeal to the Pensions Scheme. The process for this is laid out in the Local Government Pensions Scheme Formal Disputes Resolution Procedure. Contact the Pensions Section Shire Hall, Warwickshire.

Dismissal on Grounds of Ill Health
Where medical advice is that the employee will not be expected to return to work in a reasonable period, then dismissal on grounds of ill-health will be considered. A reasonable period will depend on the needs of the service and the impact of continuing absence.

Management must have taken appropriate medical advice and considered options for reasonable adjustments and all suitable opportunities for redeployment must have been explored before an employee may be dismissed on grounds of ill-health.

A meeting will be held with the Head of Service and a representative from Human Resources. The employee will be able to be accompanied at this meeting by a trade union representative or a colleague. The employee would be given 10 working days notice of this meeting and would be informed that it may lead to their dismissal.

At the meeting the employee should have an opportunity to make any representations relevant to their situation.

5. **CASES OF SHORT TERM ABSENCE FOLLOWING LONG TERM ABSENCE**

There may be instances where an employee has returned to work following a long-term absence and they then have a pattern of recurring short-term absence. In these circumstances management need to consider if there is an underlying medical problem linked to the previous long term absence. If this is the case then it may be appropriate to follow a combination of measures for both long and short term sickness absences.

6. **REPRESENTATION**

Employees may be accompanied by their trade union representative or a colleague at all formal stages of this procedure.

7. **APPEALS**

Employees may appeal against dismissal or warnings following stage 1, 2 or stage 3 meetings. They need to write within 10 days, to the Human Resources Manager, who will arrange an appeal meeting.

8. **EQUALITY & DIVERSITY**

Measures will be taken to ensure employees understand, and can participate in, these procedures, e.g. employees with speech, hearing or visual impairments, learning difficulties or whose first language is not English.

9. **RELATED DOCUMENTS**

Sickness Part 1 & 2 Forms
Return to Work Form
Self Certificated Sickness Form
## Redeployment Policy
### Pensions Policy
#### Probationary Period for new Employees

<p>| | |</p>
<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>Date last revised:</td>
<td>30.3.16</td>
</tr>
<tr>
<td>Date of next review:</td>
<td>3 years</td>
</tr>
</tbody>
</table>
Employee should ring in every day during short term sickness absence when not covered by a fit note.

Follow process for managing long term sickness.

Does the employee have a disability? If yes, speak to HR.

5 days notice required. HR to be present. Employee can bring union rep or colleague.

Identify reasons for absence. Look at ways to reduce absence. If there is an underlying reason refer to Occupational Health. Issue a first written warning. Set targets and arrange review meetings.

Give a warning that the issue will be progressed to Stage 3 if improvements are not made and this could lead to dismissal. Confirm Occ Health referral has progressed if previously referred.

Consider Occ Health referral if not already done. Confirm Occ Health referral has progressed and support has been in place if previously referred.

10 days notice required.

This meeting should be carried out by a Head of Service unless delegated to another officer.

Sickness Absence Process

Employee rings supervisor on first day of absence.

Long term absence? (4 weeks +)

Employee returns to work.

Copy record of meeting to HR.

Sickness triggers met?

Yes

Arrange sickness consultation interview
Stage 1
Or appropriate level in absence procedure if already having a formal warning

Review Meeting

Targets Met?

Yes

No further Action

No

Accelerate to Stage 2
arrange meeting

Review Meeting

Targets Met?

Yes

No further Action

No

Accelerate to Stage 3
arrange meeting

Decision to dismiss

Yes

Dismiss

No

First Written Warning
Remains live for 1 year

Targets set

Consider referral to Occupational Health

Final Written Warning

Consider referral to Occ Health

Targets set

No further Action at this time

Yes

No further Action

No

Dismissal is a possible outcome where there is clear evidence of unacceptably high absence which has not been remedied.

If warning given then no incremental rises will be paid. Also consider:
- GP note for all absence
- Time limit with no absence
- Flexible working
- Reduced hours on a temporary or permanent basis
- Counselling

Appendix 2
Sickness Absence Process

No

Re-Confirm final written warning from now and set targets & other actions

Targets Met?

Yes → Continue to monitor and review

No

Dismiss
Return to Work Interview

Employee Name: ........................................................................................................

Service/Team: ............................................................................................................

Sickness Absence:  First Day of Sickness Absence:……/… /20 (full day / half day)

Date Sickness ended: ……/……/……Date employee returned to work:………/………/………

This form should be completed by the line manager on the day of return to work if in the same office, or within 48 hours if the line manager is at a separate location. In line with the Absence Management Procedure, a Return to Work Interview is aimed at the welfare of the employee and welcoming them back to work.

1) Outline the purpose of the Return to Work interview - to welcome the employee back to work and to discuss the welfare of the employee.
   - How are you feeling?
   - Ask if the employee is well enough to return to work?

Additional Information:

2) Discuss the reasons for sickness absence on this occasion

Detail the reasons for absence:

   - Have you consulted your Doctor or hospital about your condition? Yes/No
   - Any underlying reasons for your absence? Yes/No

If yes to any of the above detail here:

   - Is the absence related to a disability? Yes/No
   - Are you on any prescribed medication? Yes/No
   - Are the reasons for absence work related? Yes/No

If yes to any of the above detail here, including detail of medication being taken:

3) If you were absent through injury, was this the result of an accident or assault at work? Yes/No
   - If Yes - Was the relevant Accident/Assault report completed? Yes/No
4) Check the correct Reporting procedure for the Team has been followed:
   - Were there any problems with reporting the absence? Yes/No
   - Employee notified their Manager of their absence before the start of the Shift Yes/No

If there were problems, these should be discussed in detail with the employee, making it clear what the reporting arrangements are, and if possible refer to the Reporting Arrangements in the Absence Management Policy or provide them with a copy of the Reporting Procedure for their team.
Failure to follow the correct Reporting Procedure may lead to more formal action – discuss with HR Business Partner
   - Has the employee completed a self-certification form? Yes/No
   - Was this absence covered by a fit note? Yes/No
   - Has the employee provided the fit note to cover the absence period? Yes/No

5) Inform the employee of their Absence history over the last 6/12 months (available on iTrent)

Have Sickness Absence triggers been hit in a rolling 12-month period? Yes/No
Is there a pattern? Yes/No

Which Sickness Absence Triggers have been met:
N/A (if no triggers hit)

3 or more occasions reached in any rolling 6-month period Yes/No
4 or more occasions reached in any rolling 12-month period Yes/No
8 or more days reached in any rolling 12 months Yes/No

*See attached absence record

**Answered No to Q5:**

**Answered Yes to Q5:**

<table>
<thead>
<tr>
<th>Advise employee (tick all relevant)</th>
<th>Advise employee (tick all relevant)</th>
</tr>
</thead>
<tbody>
<tr>
<td>o Check the employee is aware of the absence policy, if not suggest they read this on extranet or provide a copy if more relevant</td>
<td>o that their absences have hit Sickness Absence triggers and they now come under the formal part of the Absence Management Procedure</td>
</tr>
<tr>
<td>o Explain the absence triggers</td>
<td>o A Sickness Consultation Interview will be held with their Manager and HR and they will have the opportunity to be accompanied at that meeting by a union representative or work colleague</td>
</tr>
<tr>
<td>o If approaching the Sickness Absence Triggers under Short Term Sickness Absence, that any further sickness absences may mean they hit the Triggers</td>
<td>o Dependent on the outcome of the Sickness Consultation Interview this may have the potential to lead to a formal Warning</td>
</tr>
<tr>
<td>o Give praise to the employee if they have shown an improved and/or good attendance at work</td>
<td></td>
</tr>
</tbody>
</table>

**Any further advice given:**

6) Does the employee have any concerns which may affect their ability to attend work regularly and undertake all tasks in their job description?
   - Are there problems external to work which may be impacting on the employee’s ability to attend work?
   - Counselling can be offered for work related issues or where external issues are impacting on their ability to attend work – link with HR to arrange
   - Consider whether an Occupational Health referral may be appropriate – early OH referral system for stress/anxiety and/or muscular skeletal type injuries – contact HR Business Partner
   - How can they improve their attendance at work?
   - Is there a need for a work place assessment or risk assessment?
Additional Information:

7) If an employee has already undergone a Sickness Consultation Interview, discuss follow up action.
   - Link with HR for advice on how this can be progressed
   - Has employee been made aware of future actions in accordance with the Absence Management Procedure if they are absent again in the near future?
   - How can they reduce their number of sickness absences?

Additional Information

8) Explain the impact of the employee’s sickness absence on service delivery, the Team, and how their work has been covered in their absence and provide them of any updates which they need to be aware of eg Core Briefs, any new changes within their Team and any changes in procedures/policies etc.

Details

9) Any additional comments/information raised at the Return to Work interview by the employee or manager.

Additional Information

10) ACTION POINTS (tick all relevant)
   - Operational Action – updated re working arrangements, Service and Team
   - Work place assessment or risk assessment – Manager to contact H&S Team for advice
   - Occupational Health referral – contact HR Business Partner
   - Arrange Counselling – via HR Business Partner
   - Sickness Consultation Interview to be arranged - Manager to contact HR Business Partner
   - Future Review and Support Meetings to be arranged

I understand that this information will be used for the purposes of recording, monitoring and managing sickness absence.

Employee’s Signature_______________________________Date_______/_____/_______

Manager’s Signature_______________________________Date_______/_____/_______

Email this form and the Part 2 Sickness form to sickness_notifications@rugby.gov.uk
Thrive at Work
Bronze Award

What is Thrive and how do we get the Bronze Award
- Created by West Midlands Combined Authority
- Recognition that the working population is supported
- Standard of good practice
- Quality mark for health and wellbeing in work
- Bronze award is based on engagement and promotion, communication and engagement

Health Needs Assessment
- Carried out in July and August 2019

Purpose
- To help us understand employees health and wellbeing
- Enable RBC to plan activities to support health and wellbeing
- Enable RBC to make appropriate changes that meet the needs of employees

What the survey focused on
- Food and Nutrition
- Smoking
- Physical Activities
- Active Travel
- Alcohol
- Emotional Feelings
- Sleep
- Workplace Culture
- Training
- Workplace Illness
- Health and Wellbeing Support
- Questions aimed at Line Managers
Highlighted Areas

- Stress
- Healthy eating
- Muskuloskeletal (MSK)
- Manager

Other Evidence

Areas such as stress and management engagement have been backed up by:
- MHFA's – 43% of conversations were around stress at work and workload. 15% was work related stress and bullying
- Sickness absence – MSK and Stress are top 2 reasons for absence
- Conversations with HRBP's

What can we do?

- Mind Wellness Action plan
- Health and Wellbeing events
- App’s – e.g. Happy Feed
- Inter-service events – e.g. Walking Football
- Encourage managers to be more aware of the team’s mental health
- Listen to what we are being told ....

What do we do first?

- Over to SMT for suggestions!
- Promote corporate membership at QDJC
- Mind Wellness Action Plan
- Health events – blood pressure, cholesterol etc
- Sporting/competitive events
Sickness Absence Benchmarking Report
On behalf of Rugby Borough Council

Authors: Lorna Young & Monica Puri
(Principal Consultants – HR - West Midlands Employers)
1.0 Scope

1.1 West Midlands Employers Organisation was commissioned to carry out a benchmarking exercise on behalf of Rugby Borough Council. The requirements of the exercise were to analyse comparative data to assist RBC in analysing their sickness absence to establish factors influencing absence levels and to identify different or additional measures which could be taken to address them.

1.2 The following was requested to be included in the scope of the project:

- Analysis of sickness levels in other organisations
- Understanding other organisations’ procedures and best practice measures
- Review sickness absence triggers and sick pay arrangements
- Consider any learning from other councils who have made changes to their sick pay scheme
- Understand the content and frequency of sickness absence data provided to SMT by HR in other councils.

1.3 There is a specific interest in focusing the benchmarking data on other district councils that have a manual workforce similar to that of Rugby Borough Council in order that the comparison can be more meaningful and accurate.

1.4 In addition, the task group want to analyse sickness levels, and management of sickness cases, in RBC contractors’ organisations who provide similar manual roles for your authority:

- Adroit (Plumbing)
- Robert Heath (Gas)
- Glendale (Grass Cutting)
- AWM

The task group also asked for the following to be contacted:

- ESPO
- Daventry Norse

1.5 Rugby Borough Council are keen to establish the following:

- An understanding their own sickness absence levels – and challenge how this compares to other councils with a manual workforce.
- To increase knowledge of best practice in managing sickness absence and sick pay arrangements, especially around long term absence. This is with a view to implementing changes to policy and practice in the authority.
- To support the HR Team in presenting feedback following the review and a range of solutions/initiatives to the Senior Management Team.

2.0 Approach

2.1 West Midlands Local Authorities and contractor organisations were contacted. Available national data from the 2017/18 Local Government Association Workforce Survey was analysed.

2.2 There were 10 complete and 10 partial responses from Local Government which could be analysed.
2.3 Contractors and external organisations were approached however, at the time of writing the report insufficient responses had been received to provide any meaningful analysis. Of the responses received the data was not comparative due to the difference in the organisation. Therefore, this is not currently included in the findings. It was agreed at the presentation to SMT on 5 September that this will be pursued and a separate annex to this report will be provided once further responses have been obtained.

2.4 The other Regional Employers Organisations were contacted where responses were received they indicated that they are carrying out similar pieces of work and will share their data with us when it is available. They felt sending our survey to their LAs at the same time they were seeking response would result in a poor return.

2.5 Further research into Sickness Absence and Wellbeing interventions was carried out using sources such as the CIPD.

2.6 Consideration of other available WME data and case studies were taken into consideration, including ONS data.

2.7 A presentation of the findings was made to SMT on 5 September 2019. Discussions, questions and comments from this session have been included in the findings and considerations for next steps.

3 Findings

3.1 The responses from individual authorities included statistical information and data on practices currently used, measures implemented and the rationale for reviews and changes.

3.2 Sickness absence levels from the 20 respondents for this question are listed below.

<table>
<thead>
<tr>
<th>Authority</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nuneaton and Bedworth Borough Council</td>
<td>4.32</td>
</tr>
<tr>
<td>Tamworth Borough Council</td>
<td>9.88</td>
</tr>
<tr>
<td>Stratford on Avon District Council</td>
<td>9.57</td>
</tr>
<tr>
<td>Stafford Borough Council</td>
<td>6.73</td>
</tr>
<tr>
<td>Coventry City Council</td>
<td>7.55</td>
</tr>
<tr>
<td>Staffordshire County Council</td>
<td>10.94</td>
</tr>
<tr>
<td>Walsall Council</td>
<td>10.83</td>
</tr>
<tr>
<td>City of Wolverhampton Council</td>
<td>9.04</td>
</tr>
<tr>
<td>Warwickshire County Council</td>
<td>9.5</td>
</tr>
<tr>
<td>Anonymous</td>
<td>9.51</td>
</tr>
<tr>
<td>Anonymous</td>
<td>10.72</td>
</tr>
<tr>
<td>Anonymous</td>
<td>6.6</td>
</tr>
<tr>
<td>Cannock Chase</td>
<td>8.11</td>
</tr>
<tr>
<td>Lichfield DC</td>
<td>9.79</td>
</tr>
<tr>
<td>North Warwickshire Borough Council</td>
<td>11.26</td>
</tr>
<tr>
<td>Anonymous</td>
<td>11.96</td>
</tr>
<tr>
<td>South Staffordshire</td>
<td>4.29</td>
</tr>
<tr>
<td>Staffordshire Moorlands</td>
<td>4.48</td>
</tr>
<tr>
<td>Worcester City Council</td>
<td>9.9</td>
</tr>
<tr>
<td>Wyre Forest District Council</td>
<td>8.33</td>
</tr>
<tr>
<td><strong>Average</strong></td>
<td><strong>8.67</strong></td>
</tr>
</tbody>
</table>
3.3 Only 4 respondents returned figures for a manual workforce:

<p>| | |</p>
<table>
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<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>15.28</td>
<td></td>
</tr>
<tr>
<td>9.8</td>
<td></td>
</tr>
<tr>
<td>19.32</td>
<td></td>
</tr>
<tr>
<td>7.9</td>
<td></td>
</tr>
<tr>
<td><strong>13.075 (average)</strong></td>
<td><strong>RBC figure quoted 23 days</strong></td>
</tr>
</tbody>
</table>

Average jumps to 15.06 where RBC figure is included.

3.4 The LGA 2017/18 Workforce survey indicates that the average total sickness absence per FTE is 8.6 days this is largely in line with our region. Both figures are lower than RBC which is currently 12 days.

3.5 The ONS data (2018) concluded that in the public sector the manual workforce average days lost is 9.8 compared to the non-manual workforce average of 7.3.

3.6 RBC Sickness Absence Procedure is overdue review (dated March 2016 with a review date of 3 years). The policy makes minor reference to equalities legislation which has subsequently been updated (although there is also reference to the most up to date legislation).

3.7 RBC current sickness absence policy and pay arrangements (key points):

**Short Term Absence steps**

Return to work interview (informal) after every absence
**Sickness Triggers**

The sickness triggers are used as a prompt for the Sickness Consultation Interview. These are as follows:
- 3 or more occasions in any rolling 6 month period.
- 4 or more occasions in any rolling 12 month period.
- 8 or more days in any rolling 12 months*.

Formal Stage one – written warning to improve attendance
Formal Stage two – final written warning to improve attendance
Formal Stage three – dismissal with notice

**Long Term Absence**

Absence of longer than 4 weeks is classified as long term absence. Referral to OH can be made after 4 weeks of absence.

No further triggers for meetings are set within the policy beyond the first 4 weeks. OH advice and other medical advice is sought and the following options are considered:

Reasonable adjustments
Redeployment
Ill health retirement
Dismissal (where no other options are applicable and no foreseeable return in a reasonable timeframe)

3.8 Within the RBC policy salary increments can be withheld for unsatisfactory attendance.

3.9 The survey results concluded that 70% of respondents also use number of days or occurrences as trigger points for managing their short term absences. However, every respondent used slightly different triggers. The remaining 30% (respondents 4, 7 and 8) use the Bradford Factor, all of whom use the trigger of a score of 150. The trigger points used are listed in the table below.

<table>
<thead>
<tr>
<th>Respondent number</th>
<th>Trigger</th>
</tr>
</thead>
</table>
| 1                 | More than 7 working days ST  
More than 4 weeks LT |
| 2                 | 3 separate periods of absence in a 3 month period.  
Hours lost equate to the employees weekly contracted hours in a 3 month rolling period.  
6 days lost (pro rata) in a 12 month period.  
A pattern of absence that gives cause for concern (e.g. absence preceding or following annual leave, absence at similar times each year, etc.) |
| 3                 | 4 occurrences and 10 days in a 6 month period.  
or for long term, 3 weeks continuous absence |
| 5                 | 4 occasions in rolling 12 month period.  
8 days in rolling 12 month period  
Pattern of absence |
| 6                 | Trigger is 8-days |
9

3 absences in 12 months
10 days
4 weeks (long term absence)

10

3 or more episodes of sickness absence in a rolling 6 month period
- 5 or more episodes of sickness absence in a rolling 12 month period
- 10 days or more (covering 1 episode or several episodes of sickness absence) in a rolling 12 month period*
- Continuous absence of 4 weeks or more (long term)

*This will be applied on a pro-rata basis for part-time staff.

Only working days are counted in the rolling period that is defined as the 6 or 12 months prior to the first day of absence in any absence.

3.10 Only two of the respondents had implemented any changes to the sick pay scheme. One had introduced no pay for the first three days of absence (implemented in 1996). The other respondent had implemented a policy where employees hitting a formal stage were prevented from accruing flexi-time, overtime or toil. In addition this respondent has implemented an additional day’s annual leave for 100% attendance.

3.11 Reasons for absence

Highest Identified Cause of Sickness

- Stress: 7
- Musculoskeletal: 3
- Cold: 1
- Other: 1
Second Highest Identified Cause of Sickness Absence

- Stress: 5
- Musculoskeletal: 3
- Cold: 1
- Gastro: 1
- Other: 1

Third Highest Identified Cause of Sickness Absence

- Gastro: 4
- Musculoskeletal: 2
- Surgery: 2
- Other: 2
9 out of 10 respondents listed stress somewhere in their top three reasons for absence. Stress overall was the highest factor with musculoskeletal reasons the second biggest factor overall. Other reasons such as colds/flu/respiratory conditions, gastro-intestinal conditions and surgery recovery were all mentioned. RBC was unique in having recovery from surgery in their top three reasons for sickness absence.

The LGA Workforce Survey also shows that stress is the leading cause of days lost due to sickness absence with musculoskeletal problems being the second biggest cause.

The respondents then identified what measures they use to address the absence rates or deal with specific cases.

<table>
<thead>
<tr>
<th>Measure</th>
<th>Response Percent</th>
<th>Response Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>In-house counselling</td>
<td>20.00%</td>
<td>2</td>
</tr>
<tr>
<td>External counselling</td>
<td>90.00%</td>
<td>9</td>
</tr>
<tr>
<td>NHS treatments (e.g. physiotherapy)</td>
<td>60.00%</td>
<td>6</td>
</tr>
<tr>
<td>Funding private medical tests/scans etc</td>
<td>20.00%</td>
<td>2</td>
</tr>
<tr>
<td>Routine stress risk assessments</td>
<td>60.00%</td>
<td>6</td>
</tr>
<tr>
<td>Thrive at work</td>
<td>40.00%</td>
<td>4</td>
</tr>
<tr>
<td>Employee Assistance Programme</td>
<td>60.00%</td>
<td>6</td>
</tr>
<tr>
<td>Exercise and fitness initiatives</td>
<td>70.00%</td>
<td>7</td>
</tr>
<tr>
<td>Stop smoking support</td>
<td>50.00%</td>
<td>5</td>
</tr>
<tr>
<td>Incentives for good attendance</td>
<td>10.00%</td>
<td>1</td>
</tr>
</tbody>
</table>
3.15 The most frequently used interventions are:

- External Counselling
- Exercise and fitness initiatives
- Risk assessments/EAPs/NHS treatments e.g. physio

These appear to be the measures which have a higher cost attached to them. It could therefore be questioned as to the effectiveness of these programmes alone.

3.16 Additional initiatives which are being used or considered in the region are:

- Healthcare
- Wellbeing day
- Flu vaccinations
- Adhoc stress risk assessment
- Musculoskeletal clinics
- Individual wellness plans
- Health needs assessment
- Mental health first aiders
- Mental health awareness sessions

3.17 If you compare these measures with those currently used by RBC it is clear that the practices employed are largely similar to those being employed across the region. With some innovative practice already commenced at RBC (mental health first aiders, medical tests funding):

- Mental Health First Aiders
- Medical intervention budgets – physio and test
- Counselling
- Stress Assessments
- Training for managers and employees –around stress and triggers
- Resilience training
- Substitute Annual leave for sickness

3.18 Discussions from the presentation at SMT strongly suggested that although a legally compliant and robust policy does exist in the authority, it is not being used to its fullest effectiveness. This is because the LA has historically operated under a culture of support when dealing with absent employees. Managers apply discretion to the extent that formal warnings are rarely given for employees hitting short term triggers and employees on long term sick are absent for very extended periods before dismissal is considered. Further it was felt that previous occupational health advice provision led to significant barriers in managing cases. Cases extending beyond 12 months were cited.

3.19 RBC has signed up to the Thrive at work Wellbeing Charter which will help provide a framework for wellbeing being fully adopted into the culture of the organisation.

4 Conclusion

4.1 The regional and national average figures for local government are 8.8 and 8.6 days respectively. This does confirm that Rugby Borough Council currently has a significantly higher than average sickness absence rate of 12 days.
4.2 The manual worker figure of 23 days is also significantly higher than the respondents who do separate out these figures and of those nationally obtained figures for manual workforces.

4.3 Stress is now the leading reason for sickness absence across the region and intervention measures are largely targeting this and the other leading factor (musculoskeletal conditions). This is completely in line with the national picture.

4.4 Very few authorities have amended sick pay arrangements. Anecdotal evidence suggests that reducing pay, for example for the first 3 days of sickness absence does not have an overall impact on sickness absence levels. There is no statistical evidence for this arising from the survey but it is not a widely used initiative based on the question mark over its effectiveness.

4.5 One authority has implemented a different change to contractual arrangements, during sickness absence. employees who hit formal stages are prevented from accruing flexi-time, overtime or TOIL. At the same time an additional day’s annual leave is awarded for 100% attendance. The respondent authority states that this has had a positive impact on their absence levels. This authority returned an average sickness absence figure of 4.23 days.

4.6 Traditional intervention and support measures are still the most widely used, external counselling and funding traditional NHS treatments such as physiotherapy.

4.7 RBC has a legally compliant and robust policy in place, however it is in need of revision and is not currently being used to its full effectiveness.

4.8 RBC wish to continue a supportive culture but recognise that their absence figures are not improving. This means that some different approaches are needed to tackle the problem. There is no reason why support cannot still be the focus of the strategy.

4.9 A well defined, well communicated Wellbeing strategy will ensure a rounded approach to managing absence whilst putting wellbeing at the heart of the whole process. CIPD research reported that the top 3 reasons for an increased focus on wellbeing in the public sector were:
- To Lower absence figures
- We want the organisation to be a great place to work
- Our organisation that employee wellbeing is linked to business performance

4.10 RBC already has some effective interventions in place. The benchmarking exercise and subsequent discussions at SMT highlighted that for these to become more effective and demonstrate impact, a cultural change and a more consistent and robust approach to cases are a key priority. A focused Wellbeing Strategy will encompass all areas. Working with unions on the development of this and managing the communication and training for all staff is the first step the organisation can make in managing this cultural change.

5 Recommendations/Considerations

5.1 This section will look at some specific areas of focus whilst drawing on good practice ideas arising from both the survey carried out and the HR professional field.

5.2 The LA may wish to analyse data further to help target intervention measures. A breakdown of reasons for absence for the manual workforce will help identify specific interventions, measures and initiatives for this workforce. Profiling the data further, e.g. by age or gender and
understanding the key reasons for absence in different parts of the workforce will enable the interventions to be focused on specific needs.

5.3 A further analysis of measures which have impacted on attendance levels could be carried out in order that attention and resources on measures of greater impact are focused. For example, has the policy allowing employees to work from home or substitute annual leave significantly impacted on sickness absence levels? Is this disguising other issues/problems or skewing absence figures? Can you manage this in another way with links to your special leave policy?

5.4 Another analysis focus could be to look at the rate of informal, formal stages, how often these actually happen in practice and how often does this lead to successful outcome? Does this lead to a reduction in absence levels in an individual case? What are the rates of dismissals for capability linked to health? As part of this consideration should be given to the links to the probationary period policy and how absence is managed at this stage.

5.5 A proactive approach to managing wellbeing is already a priority for SMT, continuing to use Thrive at Work as a benchmark for wellbeing as a whole in the organisation is an example of this. Some organisations use a workforce survey to help identify issues and solutions. RBC has carried out employee surveys generally and in relation to Thrive. There is an opportunity to use this data to feed into the wellbeing strategy.

5.6 A review of the current policy could help reframe how sickness absences are managed. This is an opportunity to review and streamline current trigger points. There are less complicated models being used in other authorities. The updated policy can fully reflect current legislation and best practice. This can become a more effective tool to help reduce absence rates than is currently evident. In addition an example was cited from an authority who use a provision in their policy to re-enter the policy at a previous stage if improvements in attendance are not maintained following an improvement only during the review or warning period. This is something that could be considered in the policy revision.

5.7 As part of the policy review RBC could undertake a manager survey and seek feedback on effectiveness of the policy from a manager’s point of view. This will help identify how to communicate changes and what training will be required. Educating and empowering management and employees to take ownership and responsibility for their own wellbeing and management of absences could be improved upon as part of this exercise. Once a new policy has been drawn up in line with the wellbeing strategy this can be launched so that all employees and managers are clear about the benchmarks, the stages of the process and that going forward there will be consistency in managing absence. Return to work interviews could be incorporated into performance indicators for all managers.

5.8 During the discussions on 5 September it was evident that at present there is little union involvement in developing and monitoring wellbeing strategies. Including other key stakeholders in the management of wellbeing and absence can help change the culture. By holding regular meetings with SMT and the Unions and not just engaging them on individual case work or policy review there is a shared ownership and acceptance of the issues and how to address them.

5.9 Discussions on 5 September indicated that the occupational health provision had recently changed. There are further considerations the LA could make in terms of OH. Some authorities offer a self-referral approach for certain elements. It would be worth contacting other LAs who adopt this approach to understand how this works and whether it is something which RBC think may offer some benefit.
5.10 There may be opportunities to work in partnership with other authorities where successful initiatives have been established.

5.11 Networking with other LAs who have similar issues or who have found measures successful will be invaluable in developing a way forward.

5.12 WME can help identify external or technological providers for initiatives which may help underpin your wellbeing strategy. One example discussed was that of the wellbeing challenge App – Gazelle.

5.13 Finally, further support through WME is available for any of the stages of this journey of improvement.

6. **Next steps with WME**

6.1 WME can help set up networking with other authorities who have implemented initiatives RBC may be interested in investigating further. On 5th September we discussed several potential contacts for this and are happy to pursue this at a convenient time.

6.2 Where potential partnership arrangements are identified WME can help facilitate introductions.

6.3 WME will pursue the collection of data from contractors and provide an annex to this report in terms of findings.

6.4 WME will provide comparative data from other Regional Employers Organisations once this becomes available.

6.5 As part of core service WME can review the policy to highlight key considerations for change and can provide models and options to help finalise a review of the policy.
**AGENDA MANAGEMENT SHEET**

<table>
<thead>
<tr>
<th>Report Title:</th>
<th>Overview and Scrutiny Work Programme 2019/20</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Committee:</td>
<td>Communities and Resources Scrutiny Committee</td>
</tr>
<tr>
<td>Date of Meeting:</td>
<td>3 March 2020</td>
</tr>
<tr>
<td>Contact Officer:</td>
<td>Veronika Beckova, Democratic Services Officer, 01788 533591 or <a href="mailto:veronika.beckova@rugby.gov.uk">veronika.beckova@rugby.gov.uk</a></td>
</tr>
<tr>
<td>Summary:</td>
<td>The report updates the Committee on the progress of reviews within its remit and details the overview and scrutiny forward work programme for 2019/20.</td>
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<tr>
<td>Financial Implications:</td>
<td>There is a budget of £500 available in 2019/20 to spend on the delivery of the overview and scrutiny work programme.</td>
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<tr>
<td>Risk Management Implications:</td>
<td>There are no risk management implications arising from this report.</td>
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<tr>
<td>Environmental Implications:</td>
<td>There are no environmental implications arising from this report.</td>
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<tr>
<td>Legal Implications:</td>
<td>There are no legal implications arising from this report.</td>
</tr>
<tr>
<td>Equality and Diversity:</td>
<td>No new or existing policy or procedure has been recommended.</td>
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Communities and Resources Scrutiny Committee

3 March 2020

Overview and Scrutiny Work Programme 2019/20

Public Report of the Head of Corporate Resources and CFO

Summary

The report updates the Committee on the progress of task group reviews within its remit and details the overview and scrutiny forward work programme for 2019/20.

1. SCRUTINY REVIEWS

1.1 Current Reviews

Partnerships Working: Working in Partnership with the Voluntary and Community Sector – this topic has been covered by a separate item on this agenda.

Employee Wellbeing – this topic has been covered by a separate item on this agenda.

Policy for PSPOs as Gating Orders – the review is now completed. The draft Gating Order Policy is scheduled to be considered by Environment and Growth Overview and Scrutiny Committee on 24 February 2020 and agreed by Cabinet on 30 March 2020.

2. FUTURE WORK PROGRAMME

A copy of the current work programme is attached at Appendix 1.

2.1 Future Work Programme

Calls for review topic suggestions for the 2020/21 work programme would be renewed through social media platforms, the E-Grapevine newsletter produced by Warwickshire CAVA, and Parish Councils, schools and local community groups. Committee chairs would continue to explore opportunities to engage with the public at local community events and holding Listening Posts.
3. **FORWARD PLAN**

The following public topics are currently listed or scheduled for inclusion in the Forward Plan during March and April:

**2 March 2020 – Cabinet**

- Queen’s Diamond Jubilee Centre – soft play proposal
- Air Quality Supplementary Planning Document
- Digitalisation Strategy

**30 March 2020 – Cabinet**

- Ryton-on-Dunsmore Neighbourhood Plan
- Public Spaces Protection Order Gating Orders Policy

**21 April 2020 – Council**

- Scrutiny – Terms of Reference

4. **CONCLUSION**

The committee is asked to:

- note the progress in the task group reviews; and
- agree the future work programme for the committee.
Name of Meeting: Communities and Resources Scrutiny Committee

Date of Meeting: 3 March 2020

Subject Matter: Overview and Scrutiny Work Programme 2019/20

Originating Department: Corporate Resources

DO ANY BACKGROUND PAPERS APPLY  ☒ YES  ☐ NO

LIST OF BACKGROUND PAPERS

<table>
<thead>
<tr>
<th>Doc No</th>
<th>Title of Document and Hyperlink</th>
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<tr>
<td>1</td>
<td>Communities and Resources Overview and Scrutiny Committee 27 June 2019 Agenda Item 6 – Overview and Scrutiny Work Programme 2019/20 <a href="https://www.rugby.gov.uk/meetings/meeting/1047/communities_and_resources_overview_and_scrutiny_committee">https://www.rugby.gov.uk/meetings/meeting/1047/communities_and_resources_overview_and_scrutiny_committee</a></td>
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<td>Communities and Resources Overview and Scrutiny Committee 18 November 2019 Agenda Item 7 – Overview and Scrutiny Work Programme 2019/20 <a href="https://www.rugby.gov.uk/meetings/meeting/1088/communities_and_resources_overview_and_scrutiny_committee">https://www.rugby.gov.uk/meetings/meeting/1088/communities_and_resources_overview_and_scrutiny_committee</a></td>
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## Overview and Scrutiny Work Programme 2019/20

### Communities and Resources 19 March 2020

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<th>Topic</th>
<th>Description</th>
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<tr>
<td>Corporate Resources</td>
<td>Discuss performance and future strategy in relation to the portfolio</td>
</tr>
<tr>
<td>Communities and Homes</td>
<td>Discuss performance and future strategy in relation to the portfolio</td>
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### Environment and Growth 2 April 2020

<table>
<thead>
<tr>
<th>Topic</th>
<th>Description</th>
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<tr>
<td>Crime and Disorder</td>
<td>Annual review</td>
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<tr>
<td>Growth and Investment</td>
<td>Discuss performance and future strategy in relation to the portfolio</td>
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<tr>
<td>Notice of Motion – Reduce Plastic Waste at the Council</td>
<td>Progress report</td>
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### ITEMS TO BE ALLOCATED OR CARRIED FORWARD TO 2020/21

#### Communities and Resources

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<tr>
<td>Review of Housing Voids</td>
<td>Light-touch review</td>
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<tr>
<td>Rugby Lotto</td>
<td>Progress report after a year of operation</td>
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<tr>
<td>Review of Attendance Policy</td>
<td>Light-touch review</td>
</tr>
<tr>
<td>Informing and Engaging Our Communities</td>
<td>Progress against the recommendations in the review report (12 months)</td>
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#### Environment and Growth

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