

**STRATA - JOINT EXECUTIVE COMMITTEE**

Date: Wednesday 30 March 2016

Time: 5.30 pm

Venue: Rennes Room, Civic Centre, Paris Street, Exeter

Members are invited to attend the above meeting to consider the items of business.

If you have an enquiry regarding any items on this agenda, please contact Sarah Selway, Democratic Services Manager (Committees) Telephone 01392 265275 or email [sarah.selway@exeter.gov.uk](mailto:sarah.selway@exeter.gov.uk).

*Membership -*

Councillors Christophers, Divani and Edwards (Chair)

Non-voting Members Nicola Bulbeck, Karime Hassan and Mark Williams

**Agenda****Part I: Items suggested for discussion with the press and public present****1 Election of Chair**

In accordance with the Terms of Reference to elect a Chair for the next 12 months

The Chair will be appointed for a maximum period of 12 months unless otherwise agreed by the Committee.

**2 Apologies**

To receive apologies for absence from Committee members.

**3 Minutes**

To sign the minutes of the meeting held on 24 November 2015.

(Pages 5 -  
10)

**4 Declarations of Interest**

Councillors are reminded of the need to declare any disclosable pecuniary interests that relate to business on the agenda and which have not already been included in the register of interests, before any discussion takes place on the item. Unless the interest is sensitive, you must also disclose the nature of the interest. In accordance with the Council's Code of Conduct, you must then leave the room and must not participate in any further discussion of the item. Councillors requiring clarification should seek the advice of the Monitoring Officer prior to the day of the meeting.

5 **Local Government (Access to Information) Act 1985 - Exclusion of Press and Public**

**RESOLVED** that, under Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of items 14 and 15 on the grounds that they involve the likely disclosure of exempt information as defined in paragraphs 1, 2, and 3 of Part I, Schedule 12A of the Act.

6 **Questions from the Public Under Procedural Rules**

A period of up to 15 minutes will be set aside to deal with questions to the Committee from members of the public.

Each individual will be restricted to speaking for a total of 3 minutes.

*Where a question does not relate to an agenda item details of questions should be notified to the Proper Officer of the Relevant Council at least two working days prior to the meeting.*

7 **Questions from Members of the Councils under Procedural Rules**

To receive questions from Members of the Councils.

*Where a question does not relate to an agenda item details of questions should be notified to the Proper Officer of the Relevant Council at least two working days prior to the meeting.*

8 **Strata Budget Monitoring Quarter 3 2015/16**

To consider the report of the Director (Finance Lead).

(Pages 11  
- 16)

9 **Strata Budget 2016/17**

To consider the report of the Director (Finance Lead).

(Pages 17  
- 22)

10 **Strata Implementation Progress March 2016**

To consider the report of the Chief Operating Officer.

(Pages 23  
- 28)

11 **Strata Board Work Plan**

To consider the report of the Strata Board.

(Pages 29

12 **Performance Management of the Chief Operating Officer**

To consider the report of the Strata Board.

(Pages 33  
- 36)

13 **Family Friendly Policies**

To consider the report of the Strata Board.

(Pages 37  
- 58)

**Part II: Items suggested for discussion with the press and public excluded**

No representations have been received in respect of the following items in accordance with the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012.

14 **Staff Engagement Survey**

To consider the report of the Strata Board.

(Pages 59  
- 64)

15 **Security Status Overview**

To consider the report of the Strata Board.

(Pages 65  
- 68)

**Date of Next Meeting**

The next scheduled meeting of the Executive will be held on **Tuesday** 21 June 2016 at 5.30PM.

**A statement of the executive decisions taken at this meeting will be produced and published on the Council website as soon as reasonably practicable.**

Find out more about Exeter City Council services by looking at our web site <http://www.exeter.gov.uk>. This will give you the dates of all future Committee meetings and tell you how you can ask a question at a Scrutiny Committee meeting. Alternatively, contact the Democratic Services Officer (Committees) on (01392) 265115 for further information.

**Follow us:**

[www.twitter.com/ExeterCouncil](http://www.twitter.com/ExeterCouncil)

[www.facebook.com/ExeterCityCouncil](http://www.facebook.com/ExeterCityCouncil)

**Individual reports on this agenda can be produced in large print on request to Democratic Services (Committees) on 01392 265275.**

**This page is intentionally left blank**

# Agenda Item 3

## STRATA - JOINT EXECUTIVE COMMITTEE

Tuesday 24 November 2015

### Present:-

Councillors Christophers, Diviani and Edwards (Chair)  
Non-Voting Members – N Bulbeck, K Hassan and M Williams

### Also Present

The Chief Operating Officer, Director (DH), Director (SD), Strata Lead for Human Resources, Business Systems Manager, Support and Infrastructure Manager and Democratic Services Manager (Committees)

18

### MINUTES

The minutes of the meeting held on 1 September 2015 were taken as read and signed by the Chair as correct.

19

### DECLARATIONS OF INTEREST

No declarations of disclosable pecuniary interest were made.

20

### PROGRESS REPORT

The Chief Operating Officer gave a verbal update on the Progress to date.

Members were updated on the following:-

- Exeter new global desktop started two weeks ago – positive feedback from the users on the process
- 70 people currently logged in and using the system
- encountering problems but they were being resolved
- infrastructure work was largely on target, roll out had been extended to ensure good training; a new plan had been proposed for the three councils
- new plan mostly affected Teignbridge District Council with the start date moved from February to July 2016
- all telecom's contracts now being merged onto a single Virgin Media contract ready for move to digital telephony next year – this would result in cost savings

- new Mobile contracts signed with the three major networks - able to offer any network to any user
- iPhones for Teignbridge District Council were being tested and should be able to offer to users shortly
- virgin network in place and working- all councils now seeing some benefit from improved internet speed. Some elements of the network still need testing; and
- new remote access technology in test – would enable simple direct access over the internet to all systems for a council provided device.

**RESOLVED** that the update be noted.

21

### **STRATA PERFORMANCE INDICATORS**

The report of the Chief Operating Officer was submitted advising Members of the Strata performance reports. The indicators were reported to the Senior Management Teams each month together with a list of work and change requests.

Members were updated on the indicators and the improvements to Teignbridge District Council's IT system to ensure that it was more stable.

**RESOLVED** that the report be noted.

22

### **HUMAN RESOURCES REPORT**

The report of the Strata Lead for Human Resources was submitted outlining the Human Resource and cost implications provided to the Strata Board in respect of restructuring and offering staff new Strata terms and conditions by adopting a phased strategy based on affordability and business need. The report also provided an update on recent meetings with the Strata Staff Joint Forum and Employee Representatives as well as agreements made with the Board in relation to annual appraisals, learning and development and staff engagement.

Discussion took place with regards to the alignment of salaries and the challenges of retaining staff as demand in the sector increases with the expansion of Exeter and the surrounding area as an Innovation Centre.

The Strata Lead of Human Resources clarified that the Job Evaluation Scheme to be used would be the Greater London Scheme.

The Director (DH) advised that the increase in salaries would not impact on the 10 year business plan.

**RESOLVED** that:-

- (1) the report be noted and the approach proposed in relation to restructuring teams and offering Strata staff terms and conditions which, subject to costs was scheduled to take place in the first quarter of 2016, be agreed; and
- (2) the agreements made at the Staff Joint Forum with UNISON as set out in point 4, be noted .

### **ADOPTION OF IDOX UNIFORM IN EXETER**

The report of the Chief Operating Officer was submitted seeking approval for funding to deliver Idox Uniform in Exeter City Council, which would replace numerous lines of business systems with a common platform used across all partners.

Members were advised that this was the first real shared project with all three partners involving the installation of a system into Exeter City Council and upgrading and adding functionality to the systems at East Devon and Teignbridge. Anticipated cost savings shared between the three Councils would be approximately £368k revenue and about £432K capital avoidance. This was a three year project and Exeter City Council would also need to improve its data and therefore may need to spend a further £100K to clean old and inaccurate data and ensure correct formatting. The Uniform software provided systems for many areas of the Council and would enable data sharing where appropriate between services.

The Business Development Manager clarified, that whichever system that Exeter City Council transferred to data cleaning would need to take place.

**RECOMMENDED** that East Devon District Council, Exeter City Council and Teignbridge District Council approve a budget for the implementation of Uniform within Exeter City Council. The budget required is:

		% Contribution		15/16 (£000's)	16/17 (£000's)	17/18 (£000's)
Uniform Implementation	EDDC	36.7	Capital	£34.9	£19	£19
	ECC	35.9	Capital	£34.4	£19	£19
	TDC	27.4	Capital	£30.2	£14	£14
	<b>Total</b>	100		£99.5	£52	£52
Data improvements	ECC	100	Capital	£100	£0	£0

**RECOMMENDED** that Exeter City Council approve additional funding to improve the quality of data within the system, estimated at £100,000.

### **LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985 - EXCLUSION OF PRESS AND PUBLIC**

**RESOLVED** that under Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of the following items on the grounds that it involved the likely disclosure of exempt information as defined in paragraphs 1, 2, 3 and 4 of Part 1, Schedule 12A of the Act.

### **ADOPTION OF COMMON HR SYSTEM**

The report of the Chief Operating Officer was submitted to provide Members with an update on the Human Resource Business Case with preliminary costs so that a budget could be secured for the financial year 2016/17.

Members were advised that this was the second shared project covering four areas of functionality of HR, payroll, time and attendance (T&A) for flexitime and door entry. The cost savings were anticipated to be £204k over 10 years.

The Director (DH) clarified that the pay back period for this project was anticipated to be five years.

Discussion took place with regards to how the benefits of shared IT systems could help further partnership working in the future.

**RESOLVED** that the HR business case and the capital funding requirements as follows, be approved:

<b>Council</b>	<b>% Contribution</b>	<b>Capital (£000s)</b>
EDDC	36.7	<b>£68.63</b>
ECC	35.9	<b>£67.13</b>
TDC	27.4	<b>£51.24</b>
Total	100	<b>£187</b>

26

### **STRATA BUSINESS CASE UPDATE**

The report of the Chief Operating Officer was submitted to advise Members of the progress that Strata had made in the Implementation Plan and to seek approval for changes to the Business Case and gain for capital expenditure.

Members were advised that, while new contracts were coming in on or lower than budget, there were timing issues turning off old contract with security products, networks, servers and storage. This delay would cause the first year revenue savings to be lower by around £50K but this would be made up in the following two years and the overall 10 year target would still be realised.

The Chief Operating Officer advised the revised software Convergence Plan had yet to be incorporated into the Business Plan and therefore further work was required to be able to give a definite figure of the additions that the three Councils would need to approve to their capital programme for 2016/17.

Discussion took place with regards to the external factors that that could affect the business plan and the planned savings over the next 10 years. Further details would be useful on how the saving were progressing year on year and the impact on individual authorities. The Joint Executive Committee agreed that, in order for the recommendation to be able to be taken forward to the three Councils, a 10% contingency would be added to the recommendation.

**RESOLVED** that the Revised Business Case for Strata, be approved; and

**RECOMMENDED** that the three Councils approve the following additions to their capital programmes subject to a 10% contingency to allow the 2016/17 convergence plan to be delivered:-

	% Contribution	16/17 ( £000's)	Inclusive of 10% contingency
EDDC	36.7	£132.85	146.14
ECC	35.9	£129.96	142.96
TDC	27.4	£99.19	109.11
<b>Total</b>	100	£362.00	398.21

27

### **BUDGET MONITORING REPORT TO 31 OCTOBER 2015**

The report of the Director with responsibility for Finance was submitted to advise Members on the financial progress of Strata during the first six months of 2015/16, including a project outturn assessment against the savings set out in the Business Plan. The report also provided a summary of the final Statement of Accounts for 2014/15.

Members were advised that the Auditors were satisfied that the Company was treated as a going concern and had provided an unqualified opinion on the accounts. The startup costs were being managed within budget and there had been no capital spend on existing IT systems as expected. Strata would be short on revenue savings by around £50K but this would be made up over following two years.

**RESOLVED** that the report be noted.

(The meeting commenced at 6.25 pm and closed at 7.05 pm)

Chair

**This page is intentionally left blank**

## **STRATA JOINT SCRUTINY COMMITTEE & STRATA JOINT EXECUTIVE COMMITTEE**

*Note: This report will be considered at both meetings and a verbal update will be given on any recommendations comments arising from Overview & Scrutiny meeting.*

**DATE OF MEETING: 17 MARCH & 30 MARCH 2016**

**PUBLICATION DATE: 9 MARCH 2016**

**REPORT OF: STRATA BOARD**

**SUBJECT: STRATA BUDGET MONITORING Q3 - 2015/16**

### **1. PURPOSE**

- 1.1 This report advises Members of the financial progress of Strata during the first nine months of 2015-16, including a project outturn assessment against the savings set out in the Business Plan.

### **2. BACKGROUND**

- 2.1 The Company has been given a total of £5.752 million to run the IT Services in 2015/16 along with funding for various capital projects. The Company also maintains an account for additional purchases throughout the year, which is invoiced to each Council based on actual purchases made.

### **3. MAIN IMPLICATIONS**

#### **Strata Budget Monitoring to 31 December 2015**

#### **3.1 Savings as per Business Plan**

The original Business Case for Strata set out a savings profile over the initial ten year period of the Company. The savings were split into cashable revenue savings and savings to the Councils from not having to implement specific capital projects individually.

A breakdown of the saving summary is set out below.

		<b>Capital Expenditure Savings</b>	<b>Revenue Savings</b>	<b>Total</b>
2015-16	Year 1	(443,932)	(262,098)	<b>(706,030)</b>
2016-17	Year 2	(272,522)	(254,052)	<b>(526,574)</b>
2017-18	Year 3	(319,822)	(482,836)	<b>(802,658)</b>
2018-19	Year 4	(259,609)	(627,961)	<b>(887,570)</b>
2019-20	Year 5	(129,300)	(769,653)	<b>(898,953)</b>
2020-21	Year 6	867,962	(858,293)	<b>9,669</b>
2021-22	Year 7	(138,000)	(933,626)	<b>(1,071,626)</b>
2022-23	Year 8	(9,884)	(927,313)	<b>(937,197)</b>
2023-24	Year 9	(196,902)	(949,680)	<b>(1,146,582)</b>
2024-25	Year 10	(374,300)	(984,040)	<b>(1,358,340)</b>
Total		<b>(1,276,309)</b>	<b>(7,049,550)</b>	<b>(8,325,859)</b>

In the current financial year therefore the savings expectation as per the Business Plan for Revenue is £262,098. The section below will set out progress towards delivering this target.

### 3.2 Key Variations from Revenue Budget

The Strata budget is on track to deliver approximately 75% of the planned revenue savings for the Councils in 2015-16. The key variations are set out on the next page:

Expenditure Type	Projected Over / (Underspend)	Detail
Employees	(167,959)	<ul style="list-style-type: none"> <li>The planned redundancies have taken place;</li> <li>Slightly below savings target – one additional member of staff against the Business Case as a result of an external management appointment. Additional costs in respect of the management of the implementation project.</li> </ul>

Expenditure Type	Projected Over / (Underspend)	Detail
Supplies & Services	142,009	<ul style="list-style-type: none"> <li>Projected overspend is offset by additional income from the owner Councils and relates to additional work requirements;</li> <li>Some savings anticipated this year as a result of contract novation (£21,500), but more will start on 1 April 2016 which will lead to a total of £66,800 a year against a savings target of £84,000. Further negotiations to be finalised;</li> <li>Unexpected rental costs in respect of data centre equipment at Teignbridge DC.</li> </ul>
Income - Revenue	(165,438)	<ul style="list-style-type: none"> <li>As noted above, this is the additional income to cover the items of expenditure in the Supplies and Services line.</li> </ul>
Investment interest / Tax	(10,156) net	<ul style="list-style-type: none"> <li>Interest income less tax</li> </ul>

At the six month stage the Board is projecting a saving of £201,488 against the target of £262,098.

### 3.3 Key Variations from Capital Budget

The capital project to deliver the data centre and other implementation projects is progressing. The Capital programme remains on track after three quarters of the financial year.

### 3.4 TCA Grant

A total of £745,840 was carried forward into this financial year of which £408,268 has been spent. It is anticipated that the rest will be used in this financial year and be sufficient to meet the anticipated expenditure.

### 3.5 Council Recharge Account

The Councils also request additional equipment for which they are subsequently invoiced. At present there are outstanding payments of £97,345 to be invoiced.

## RECOMMENDATIONS

**That the Board, the Joint Scrutiny Committee and the Joint Executive Committee notes the contents of the report.**

<b>Dave Hodgson</b> <b>Director (Finance Lead)</b>	<b>Contact details</b> <b>Tel: 01392 265292</b> <b>E-mail: david.hodgson@exeter.gov.uk</b>
---	--

**BUDGET MONITORING  
31 DECEMBER 2015**

<b>STRATA SERVICE SOLUTIONS - REVENUE BUDGET</b>						
	<b>REVENUE BUDGET</b>	<b>COMMITMENTS TO DATE</b>	<b>ACTUAL TO DATE</b>	<b>ACTUAL &amp; COMMITMENTS</b>	<b>PROJECTED OUTTURN</b>	<b>VARIANCE</b>
	£		£	£	£	£
EMPLOYEES	2,434,580	0	1,684,905	1,684,905	2,266,621	(167,959)
SUPPLIES & SERVICES	3,279,785	58,806	2,548,899	2,607,705	3,421,794	142,009
TRANSPORT	38,500	0	25,078	25,078	38,556	56
TAX ON INTEREST	0	0	1,904	1,904	2,539	2,539
INCOME - REVENUE	(5,752,865)	0	(5,918,303)	(5,918,303)	(5,918,303)	(165,438)
INVESTMENT INTEREST	0	0	(9,521)	(9,521)	(12,695)	(12,695)
<b>Net Expenditure</b>	<b>0</b>	<b>58,806</b>	<b>(1,667,038)</b>	<b>(1,608,232)</b>	<b>(201,488)</b>	<b>(201,488)</b>

<b>CAPITAL PROJECTS</b>					
	<b>CAPITAL BUDGET</b>	<b>COMMITMENTS TO DATE</b>	<b>ACTUAL TO DATE</b>	<b>ACTUAL &amp; COMMITMENTS</b>	<b>BUDGET REMAINING</b>
	£		£	£	£
DATA CENTRE / DR - INFRASTRUCTURE	663,368	0	863,478	863,478	200,110
DATA CENTRE - HARDWARE	113,200	0	46,662	46,662	(66,538)
DATA CENTRE - SOFTWARE	750,000	0	905,774	905,774	155,774
AD & EXCHANGE	55,719	0	0	0	(55,719)
SERVICE DESK	2,000	0	799	799	(1,201)
Telecoms	182,623	0	0	0	(182,623)
WAN	93,936	0	0	0	(93,936)
SECURITY	87,150	0	53,350	53,350	(33,800)
Voice Activated Directory	42,812	0	42,812	42,812	0
Capital Funds	(1,990,808)	0	(1,990,808)	(1,990,808)	0
<b>Net Expenditure</b>	<b>0</b>	<b>0</b>	<b>(77,933)</b>	<b>(77,933)</b>	<b>(77,933)</b>

<b>TCA FUNDS</b>	
	<b>ACTUAL TO DATE</b>
	£
EMPLOYEES	222,817
SUPPLIES & SERVICES	77,140
TRANSPORT	23
SET UP COSTS	108,288
TCA GRANT	(745,840)
<b>UNSPENT GRANT</b>	<b>(337,572)</b>

<b>COUNCIL RECHARGE</b>	
	<b>ACTUAL TO DATE</b>
	£
EMPLOYEES	750
SUPPLIES & SERVICES	461,914
INCOME	(365,319)
<b>TO BE RECHARGED TO COUNCILS</b>	<b>97,345</b>

**This page is intentionally left blank**

## **STRATA JOINT SCRUTINY COMMITTEE & STRATA JOINT EXECUTIVE COMMITTEE**

*Note: This report will be considered at both meeting and a verbal update will be given on any recommendations comments arising from the Overview & Scrutiny meeting.*

**DATE OF MEETING:** 17 MARCH 2016 & 30 MARCH 2016

**PUBLICATION DATE:** 9 MARCH 2016

**REPORT OF:** STRATA BOARD

**SUBJECT:** STRATA BUDGET 2016/17

### **1. PURPOSE**

To approve the revenue and capital budgets for Strata for the 2016/17 financial year.

### **2. BACKGROUND**

In accordance with the Shareholder Agreement, the budget requires Full Council approval at each of the three owner Councils. The budget is based on the funds agreed from the three Councils based on the initial three year approved methodology – the 2013/14 budget as adjusted for inflation and agreed additions / disposals. The budget reflects the decisions made at the JEC 24 November 2015 to offer Strata contracts to those staff who wished to transfer and substantially removes the projected surplus in the original Business Plan for 2016/17. As agreed the reduction will be made up in future years to ensure the savings approved are made by the end of the project. If a surplus is achieved, it will be returned in the form of a refund to each Council in line with the agreed percentage split. The capital programme is made up from the agreed £150,000 annual contribution and any schemes approved by any or all of the three owners.

### **3. MAIN IMPLICATIONS**

#### **Revenue**

The three Councils have agreed a budget transfer for 2016/17 of £5,900,990. This includes the £15,000 for support services and all existing staffing, supplies and services. The budget, which is set out in Appendix A, has been created taking into account the following:

- Staffing budgets are based on the latest payroll costs in 2015/16, adjusted to take into account the impact of transferring across to Strata Terms and Conditions (£125,000).
- Transport costs are based on 2015/16 actuals;
- Support Services are based on the agreed payments;
- Supplies & Services are based on the initial amounts allocated, updated for inflation over the past two years and adding any additional items that have been purchased with ongoing cost implications. Savings from contracts already novated have been removed;
- Tax is based on the anticipated costs in 2016/17;
- Income is based on the agreed transfer from Councils along with a small historical transferred budget plus interest on cash balances.

The budget demonstrates the impact of the move to Strata terms and conditions as well as the one-off redundancy cost. Only a small part of these additional costs is considered likely to be clawed back within the financial year and therefore marks a significant departure from the original Business Plan. It is however in line with the report approved by the Joint Executive Committee on 24 November 2015.

### **Capital**

The capital programme is set out at Appendix B. It is based on the annual contribution, convergence projects and any approved Council schemes, which will be delivered by Strata. The budget for 2016/17 is £941,090. Any budget carry forwards from 2015/16 will be presented in the year-end financial reports, seeking approval for carry forward into the new financial year.

### **RECOMMENDATIONS**

**That the Board comments on and proposes, the Joint Scrutiny Committee comments, the Joint Executive recommends and Full Council approves the Budget for 2016/17.**

<b>Dave Hodgson</b> <b>Director (Finance Lead)</b>	<b>Contact details</b> Tel: 01392 265292 E-mail: david.hodgson@exeter.gov.uk
---	--

Strata Budget 2016-17	
-----------------------	--

<b>Employees</b>	
------------------	--

Pay	1,997,400
NI	202,520
Super	225,800
Overtime	20,000
Redundancy	120,000
Market Supplement	30,000
Green Travel	500
Insurance	10,270
Training	30,000
<b>Employee total</b>	<b>2,636,490</b>

<b>Transport</b>	
------------------	--

Mileage	25,000
Public Transport	3,500
ECC Parking	4,000
Vehicle allowance	1,200
<b>Transport Total</b>	<b>33,700</b>

<b>Support Services</b>	
-------------------------	--

Contribution to Councils	15,000
<b>Support Service Total</b>	<b>15,000</b>

<b>Supplies &amp; Services</b>	
--------------------------------	--

Company Costs	12,700
IT	2,252,676
Document Centre	585,703
Telephones / mobile working	380,277
<b>Supplies &amp; Services Total</b>	<b>3,231,356</b>

<b>Tax</b>	
------------	--

Tax	2,500
	<b>2,500</b>

<b>Income</b>	
---------------	--

Contract Payments	(5,927,530)
Other	(5,980)
Interest on Balances	(12,500)
<b>Income Total</b>	<b>(5,946,010)</b>

<b>(Profit)/Loss</b>	<b>(26,964)</b>
----------------------	-----------------

<b>Savings Target per Business Plan</b>	<b>(254,052)</b>
---	------------------

<b>Variance to Business Plan</b>	<b>227,088</b>
----------------------------------	----------------

**APPENDIX A**

			<b>Employees</b>	<b>Premises / Transport</b>	<b>S&amp;S</b>	<b>Income</b>	<b>Support Services</b>
ECC	1,957,390	1,957,390	783,075	9,070	1,166,185	(5,940)	5,000
EDDC	2,311,860	2,311,860	1,039,660	45,430	1,221,770	0	5,000
TDC	1,658,280	1,658,280	699,360	27,420	926,540	(40)	5,000
	5,927,530	5,927,530	2,522,095	81,920	3,314,495	(5,980)	15,000
Strata		5,910,566	2,636,490	33,700	3,231,356	(5,980)	15,000
		16,964	(114,395)	48,220	83,139	0	0

<b>STRATA - CAPITAL PROGRAMME 2016/17 AND FUTURE YEARS</b>					
<b>SCHEMES</b>	<b>2016/17 £</b>	<b>2017/18 £</b>	<b>2018/19 £</b>	<b>Future Years £</b>	<b>What the scheme is trying to achieve</b>
<b>ANNUAL CONTRIBUTION</b>					
Annual Contribution to STRATA	150,000	150,000	150,000	150,000	To enable replacement infrastructure equipment to be purchased as required
<b>CONVERGENCE PROJECTS</b>					
Idox System for Planning	52,000	52,000			Convergence across the three Owners
HR System	187,000				Convergence across the three Owners
Convergence Projects	398,200				Convergence across the three Owners
<b>ADDITIONAL PROJECTS REQUESTED BY COUNCIL(S)</b>					
EDDC - eFinancials - upgrade to Version 5	22,000				To upgrade EDDC's financial system to the latest version in order to remain supported.
EDDC - Revenue & Benefits e-service software	4,890				To implement self service functionality for Council Tax, Business Rates and Benefit Customers
ECC - eFinancials - upgrade to Version 5	50,000				To upgrade ECC's financial system to the latest version in order to remain supported.
ECC - Improve Guildhall Wi-Fi	17,000				To install a fibre connection from the Civic Centre to the Guildhall to improve wi-fi access.
ECC - Customer Contact Platform	60,000	45,000	30,000		To ensure that services are available online and to allow customers to transact with the Council without having to telephone or visit.
<b>RESOURCES TOTAL</b>	<b>941,090</b>	<b>247,000</b>	<b>180,000</b>	<b>150,000</b>	

**This page is intentionally left blank**

## **STRATA JOINT SCRUTINY COMMITTEE & STRATA JOINT EXECUTIVE COMMITTEE**

*Note: This report will be considered at both meetings and a verbal update will be given on any recommendation comments arising from the Overview & Scrutiny meeting.*

**DATE OF MEETING:** 17 MARCH 2016 & 30 MARCH 2016

**PUBLICATION DATE:** 9 MARCH 2016

**REPORT OF:** Chief Operating Officer

**SUBJECT:** STRATA Implementation Progress March 2016

### **1. PURPOSE**

To appraise the JSC of the progress of implementation of the Strata business plan.

### **2. BACKGROUND**

The Strata plan was created in early 2014 and approved in August 2014. Since then a great deal of work has been carried out to implement the vision of a single IT organisation delivering IT services from a single data centre using the latest virtual desktop infrastructure.

### **3. PROGRESS**

#### **Summary**

The high level plan included in the original business case is shown in Fig 1 and is updated to show progress against each of the key elements.

The main infrastructure elements of the new IT infrastructure (data centre, WAN, main computers) were completed last year overcoming several challenges in the process that introduced some delay to the subsequent stages.

These elements provided the foundations for delivery of the virtual desktop infrastructure (VDI) which in turn delivers the Global Desktop to each member of staff in the Councils. Numerous challenges, but especially software bugs in the main VDI product, have caused a delay in the roll out resulting in the need to replan the delivery.

As of today 419 staff have received the Global Desktop and feedback from users is good.





## **Key Technical Areas In Progress**

### **Security Systems**

The main systems are implemented but in a raw format and need tuning to enable efficient operation of the systems and for the reports to be understood by staff. This delay came about as the security staff were heavily involved in the crisis management of the old Teignbridge infrastructure and its temporary move to new infrastructure.

Since December we have had to respond rapidly to several new security threats requiring reconfiguration of the many security systems in place and, in one case, a major data recovery exercise. This tuning of systems will continue.

### **Telecomms Contract**

The transfer of the various suppliers over to the Virgin Media Business (VMB) contract is underway. The process had a setback in December when a line transfer failed causing significant issues for the Exeter Homecall service. The transfer was stopped while VMB investigated and modified their processes and has recently restarted.

Moving onto a single contract is the first step in migrating to a modern digital telecoms platform called SIP. This is planned for August 2016.

Once SIP is in place then telephony can be added to the Global Desktop starting at East Devon.

### **Virtualise the Software Applications**

This has been the most troublesome workstream of the implementation project so far. After a slow start due to difficult-to-use software was changed for a new product, speedy progress was made and the Global Desktop started being rolled out to users in Exeter.

In early January we reached 150 users and from this point a series of problems emerged which caused users to complain and we stopped the roll out. The issues were escalated to our partner, Computercentre, and the main supplier, VMWare. After extensive checks and continuous testing of attempted "fixes" the problems have been identified inside the VMWare product.

A fix has been implemented and the roll out continued in late February. We have now reached 419 users and expect to complete in Exeter in early April.

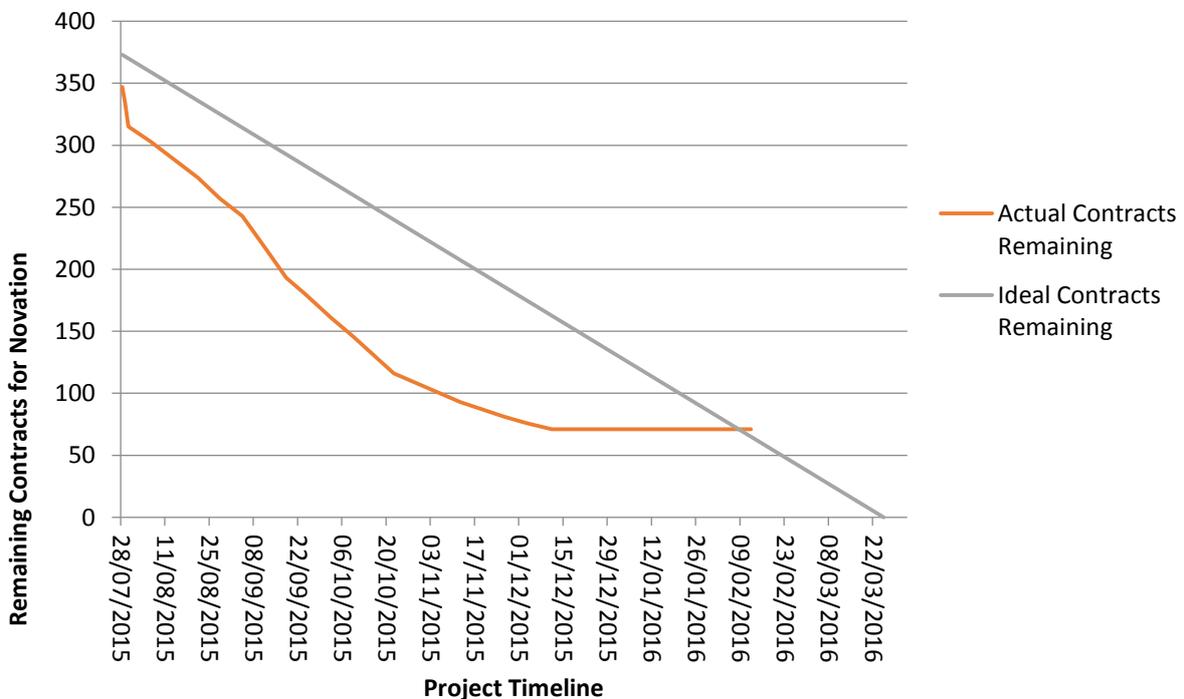
The consequences of this delay is a knock-on effect to East Devon and Teignbridge with an expected start in East Devon in late May and at Teignbridge in September.

**Other Implementation Areas**

**Contract Novation and Negotiation**

A second major part of the business case was the migration over a period of years towards single versions of business software . This was intended to begin in earnest once the Strata IT infrastructure was in place with some supplier negotiations taking place in the first year while contract novations took place.

Novations have been trickier than expected with some suppliers eg Oracle and OpenText either refusing to novate or placing heavy costs on the move.



Current progress shows us achieving £57K saving from novation negotiation against a target of £84K saving per year. It is anticipated this will be recovered through the business plan process to meet the original savings target.

**Convergence of Business Applications**

We have several agreements on migration of applications and projects have begun. This is, by its nature, a longer term objective but vital in freeing up capacity amongst the Business Solution team to use for transformation.

The projects agreed and started are:

- Exeter move onto IDOX Uniform – major project covering Building Control, Development Control, Land Charges, Licensing, Environmental Health

- HR Project – covers the payroll, HR, time and attendance and door lock systems.

Other work that is leading towards common systems is:

- All councils have agreed to use Umbraco for web content management and, as far as possible, to share a website design.
- Exeter selecting the “portal” product that will provide a modern digital delivery platform to be in place across the three councils should they wish it.

The Convergence Plan is issued yearly as it needs to adapt to the changing council environments. The latest Plan is being presented to Board in March.

### **Organisation**

The details of the complete organisation have been completed and we are now in the process of evaluating the jobs and working out strategies for offering Strata contracts with minimum amount of disruption to staff.

Staff are continuing to work across all three major sites and the Global Desktop roll out has been a particular success.

March 2016 is when all contract staff will leave us.

### **RECOMMENDATIONS**

**That the Joint Scrutiny Committee comments on the report for the Joint Executive.**

**Chris Powell**  
**Chief Operations Officer**

## **STRATA OVERVIEW & SCRUTINY COMMITTEE STRATA JOINT EXECUTIVE**

*Note: This report will be considered at both meetings and a verbal update will be given on any recommendations comments arising from the Overview & Scrutiny meeting.*

**DATE OF MEETINGS:** 17 March & 30 March 2016

**PUBLICATION DATE:** 9th March

**REPORT OF:** Strata Board

**SUBJECT:** Strata Board Work Plan

### **1. PURPOSE**

*This report is to update councillors on the newly adopted work plan for Board's consideration over the next twelve months. A copy is attached.*

### **2. BACKGROUND**

Considerable focus has been given to delivering the first part of the implementation plan and the new virtual desk top and supporting technologies across the three councils. The Board now need to review wider progress against the company's business and organisational objectives.

The Work Plan is kept under monthly review by the Board.

It will help with the delivery of relevant and timely information to both the Overview and Scrutiny and Joint Executive Committees.

### **3. MAIN IMPLICATIONS**

The Work Plan is intended to provide a framework for management of the company's business and service delivery objectives against the approved business plan.

**Strata Board**

**This page is intentionally left blank**

**STRATA BOARD ANNUAL WORK PLAN - March 2016 – Approved by Board 22 Feb 2016**

22 JAN	22 FEB	18 MAR	15 APRIL	20 MAY	17 JUNE	15 JULY	19 AUG	16 SEPT	21 OCT	18 NOV	16 DEC
Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring	Financial Monitoring
COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report	COO's progress report
HR work stream	HR work stream	HR work stream report	HR work stream	HR work stream	HR work stream	HR work stream	HR work stream	HR work stream	HR work stream	HR work stream	HR work stream
Additional shareholders	Home Call telephone line incidents - lessons learnt	Risk Management Policy inc current assessment	H&S Audit - annual		Customer Standards - annual	Approval of company accounts		Approval Business Plan inc Convergence / Service plans	Analysis of complaints & customer satisfaction		
Future working arrangements	Results -staff engagement survey	<b>Review Financial Rules</b> - annual	Communications Audit Annual item		Records policy - annual	<b>Service Plans – Approval of - to inform BP</b>					
	Pensions guarantee - auditors		Process to develop BP and agree format								
	Convergence Plan to JEC	Convergence Plan update									
	Draft Budget										
	Approve <b>internal audit plan</b>										
	Procurement strategy & procedures	Procurement strategy & procedures									
Quarterly risk review (2017)	Rep March OS/JEC		Quarterly risk review	Rep June OS/JEC		Quarterly risk review	Rep Sept OS/JEC		Quarterly risk review	Rep Dec OS/JEC	
	Revise telephone recharge	Revise telephone recharge									
	Contract novation										
	Remote decisions										

**APPENDIX 1**

**This page is intentionally left blank**

## **STRATA OVERVIEW & SCRUTINY COMMITTEE STRATA JOINT EXECUTIVE**

*Note: This report will be considered at both meetings and a verbal update will be given on any recommendations comments arising from the Overview & Scrutiny meeting.*

**DATE OF MEETINGS:** 17 March & 30 March 2016

**PUBLICATION DATE:** 9th March

**REPORT OF:** Strata Board

**SUBJECT:** Performance Management  
of Chief Operating Report

### **1. PURPOSE**

This paper outlines arrangements adopted by the Board for the performance management approach for Chief Operating Officer following receipt of advice from Karen Jenkins HR Lead for Strata.

### **2. BACKGROUND**

The JEC have already agreed that annual performance reviews should take place in March/April and that these should be supported with regular 121s.

### **3. MAIN IMPLICATIONS**

The recommendation is that the performance of the Chief Operating Officer is viewed and managed using a 'two tier' approach. This would mean that annually and quarterly the Board and then one member of the Board would meet with the COO to discuss performance in two separate meetings.

### **4. RECOMMENDATION**

The recommendation is that the performance of the Chief Operating Officer is viewed and managed using a 'two tier' approach:

- Performance assessment – carried out by the Board collectively
- Performance management – carried out by one Board member

#### **4.1 PERFORMANCE ASSESSMENT**

4.2 These meetings should be conducted annually and quarterly and should be the arena in which objectives are set and performance against objectives and behaviours are reviewed.

4.3 The meetings should represent a general discussion to allow a factual assessment to be made by the whole Board about the performance of Strata and the COO.

4.4 This assessment should be in relation to performance against objectives (incorporating the business plan) and the Behaviours Framework. The framework clearly outlines examples of what is expected under each of these headings.

- Simplicity in communication
- Systems thinking and excellence in service delivery
- Trust and respect
- Accountability
- Working together
- Excellence in leadership

4.5 Given the nature of the Chief Operating Officer role, the following are important elements outlined in the job description and also need comment in relation to performance.

- Sound procurement decisions
- Sound financial, legal and human resource management based on advice received
- Risk and good governance

#### **4.6 Format**

This factual assessment by the Board should be documented under the following headings.

- What has been achieved and what has gone well?
- What has not been achieved and has not gone so well?
- What has been unacceptable?
- What is critical for the next quarter/period.

4.7 After the Performance Assessment Board meeting, the Board should meet without the COO present to determine the level of achievement against objectives and behaviours using the following measures:

- Exceeded
- Met
- Underperforming

## **4.8 PERFORMANCE MANAGEMENT**

4.8.1 One Board member will undertake performance management by carrying out the Performance Excellence Review and 121s on an annual and quarterly basis after the Performance Assessment by the Board has taken place.

4.8.2 This Board member will be responsible for communicating to the COO the level of achievement the Board has allocated to the objectives and behaviours on an annual basis.

4.8.3 This Board member will be responsible for picking up any issues raised by the Performance Assessment and discussing with the COO development required and training needs in relation to these issues or reiterate any performance messages and document these clearly.

4.8.4 The reason for this recommendation is that having just one person have these discussions will assist consistency and continuity. It might be less intimidating especially where there are difficult messages to give and it is anticipated that a two way discussion will more easily lend itself to a mentoring/developmental type discussion. Each session does not need to be too long and it would be helpful to have the Performance Assessment and Performance Management meetings on the same day.

4.8.5 Training needs will also be discussed in these annual and quarterly meetings.

4.8.6 The forms used by East Devon District Council, will be used.

## **STRATA BOARD**

**This page is intentionally left blank**

## **STRATA OVERVIEW & SCRUTINY COMMITTEE STRATA JOINT EXECUTIVE**

*Note: This report will be considered at both meetings and a verbal update will be given on any recommendations comments arising from the Overview & Scrutiny meeting.*

**DATE OF MEETINGS:** 17 March & 30 March 2016

**PUBLICATION DATE:** 9th March

**REPORT OF:** Strata Board

**SUBJECT:** Family Friendly Policies

### **1. PURPOSE**

To advise the family friendly policies which have been adopted by the Board in principle.

These policies have been produced to ensure that legislation is adhered to. The provisions in these policies reflect statutory entitlements as opposed to the usual more enhanced provisions adopted by the public sector.

### **2. BACKGROUND**

These policies cover maternity, paternity and adoption leave. They were discussed and agreed with UNISON regional from the outset as representing the statutory provisions given the other additional enhanced benefits such as holiday entitlement, flexi time etc.

### **3. MAIN IMPLICATIONS**

These policies provide for the main entitlement and provisions.

### **4. RECOMMENDATION**

That the action of the Board be confirmed in agreeing these policies, in principle, so that they can be discussed and agreed with UNISON at the next Staff Joint Forum.

**Strata Board**

**This page is intentionally left blank**

# Strata Service Solutions Ltd

## Maternity and Paternity leave policy

### 1 Aims of the policy

1.1 This policy aims to set out the rights of expectant mothers and to help answer some of the questions that may arise in relation to continuing work during pregnancy, during maternity leave and after the birth of the baby. The policy also sets out the rights of partners who will have responsibility for the upbringing of the child.

1.2 This policy is supported by other policies and procedures such as the Absence Management Policy, Adoption Leave Policy, Flexible Working Policy, Unpaid Parental Leave Policy and the Shared Parental Leave policy.

### 2 Key principles for Maternity Leave

2.1 You are entitled to reasonable time off with pay for ante-natal care. It is requested that wherever possible such appointments are made outside core working time.

2.2 All women are entitled to 26 weeks Ordinary Maternity Leave and 26 weeks Additional Maternity Leave irrespective of length of service or the number of hours worked each week.

2.3 You cannot work at any time during the 2 week period immediately after the date of birth of your child. **This is a compulsory maternity leave period when working is prohibited.**

2.4 Irrespective of length of service or hours worked, contractual benefits remain except for remuneration (basic salary or wages, SSP-weeks 1-39) and occupational pension benefits (weeks 40-52)

### 3 What is the company's policy

#### Time off with pay for ante-natal care

3.1 You are entitled to reasonable time off with pay for ante-natal care. It is requested that wherever possible such appointments are made outside normal working time.

3.2 However, as ante-natal care falls outside of the requirement to arrange medical appointments outside of normal working hours, you will not be asked to make up any lost time because of attendance at ante-natal classes.

3.3 Please advise your Line Manager as soon as possible regarding ante-natal care. You may be requested to produce evidence of your appointments to your Line Manager.

## **Health and safety**

3.4 Once you have advised your Line Manager in writing that you are expecting a baby, your Line Manager in consultation with the Health and Safety Adviser will complete a risk assessment for you. The Pregnant or Nursing mothers risk assessment will either remove or minimise any identified risk. This may involve modifying your work or removing any hazardous activity.

3.5 A further risk assessment may be required if you decide to work after the start of the 4th week before your baby is due. You cannot work at any time during the 2 week period immediately after the date of birth of your child. **This is a compulsory maternity leave period when working is prohibited.**

3.6 A further risk assessment may also be carried out if you return to work soon after giving birth or if you are still breast feeding. Reasonable adjustments will be put in place if the same or different risks are identified.

## **The right to be offered suitable alternative work**

3.7 Where a Line Manager is unable to alter the working conditions or hours of work in order to remove risks identified through the risk assessment of your job, suitable alternative work may be offered on terms and conditions not substantially less favourable than your current terms and conditions. Suitable means work which you are reasonably able to do in the circumstances.

## **Suspension with pay**

3.8 Where suitable alternative work cannot be found during the term of the pregnancy or if the same risks were prevalent in the alternative then the Company will, as a last resort, suspend you on full pay until the commencement of your maternity leave. If you unreasonably refuse suitable alternative work you may still be suspended but you will lose the right to be paid during the suspension period.

## **Ordinary Maternity Leave (OML) and Additional Maternity Leave (AML)**

3.9 All women are entitled to 26 weeks Ordinary Maternity Leave and 26 weeks Additional Maternity Leave irrespective of length of service or the number of hours worked each week.

## **Transferring Maternity Leave (shared parental leave)**

3.10.1 Shared parental leave is available in relation to babies born on or after 5 April 2015. Shared parental leave enables you as the mother to commit to ending your maternity leave and pay at a future date and to share the untaken balance of leave and pay as shared parental leave with your partner.

3.10.2 Shared parental leave must be taken in blocks of at least one week. Individuals can request to take shared parental leave in one continuous block (in which case the Company is required to accept the request as long as the individual meets the eligibility

and notice requirements), or as a number of discontinuous blocks of leave (in which case this will need to be agreed with the Company).

3.10.3 So that you can take parental leave, an employee must meet various eligibility requirements and comply with the relevant curtailment, notice and evidence requirements. This includes the mother curtailing her maternity leave.

3.10.4 Please refer to our policy on shared parental leave, where you will find full details of the eligibility requirements as well as instructions as to how the maternity leave can be curtailed. The Company's policy on shared parental leave sets out the notice periods with which you must comply and what evidence you must provide. The policy also sets out more details on pay for shared parental leave.

### **Contractual benefits during paid maternity leave (Weeks 1-39)**

3.11 Irrespective of length of service or hours worked, contractual benefits remain except for remuneration (basic salary or wages, SSP).

3.12 Benefits which would qualify and which must continue are:

- Accrual of holiday entitlement.
- Occupational pension benefits
- Use of mobile phone

### **Contractual benefits during unpaid maternity leave (weeks 40 – 52)**

3.13 Whilst you are absent from work on additional unpaid maternity leave, irrespective of length of service or hours worked, contractual benefits automatically remain except for remuneration (basic salary or wages, SSP) and occupational pension benefits.

3.14 Therefore, benefits which would qualify and which must continue are:

- Accrual of holiday entitlement.
- Use of mobile phone

### **Occupational Pension benefits during additional unpaid maternity leave (weeks 40 –52)**

3.15 If you elect to make contributions towards your pension for the period of additional unpaid maternity leave then Strata Service Solutions will also pay contributions for this period of time based on your full pay.

### **Pension payments**

3.16 Whilst receiving maternity pay, you will continue to make pension contributions on the revised pay. This reduced payment will not affect your pension benefits as these will

be based on the normal pay you would have received. This is known as 'assumed pensionable pay'.

3.17 When you commence the additional unpaid maternity leave period, your pension benefits will be reduced unless you opt to make up the lost pension. Payroll Services will advise the cost of this and agree a repayment period. You will have 1 month from the date of return to work to make a decision.

#### **Pay awards whilst on maternity leave**

3.18 As soon as you return to work from maternity leave, you will be assimilated to the spinal column point you would have been on had you not been on maternity leave.

3.19 You will benefit from a pay rise that takes effect any time from the start of the reference period for calculation of eligibility to maternity pay and the end of the Statutory Maternity Period.

#### **Statutory maternity pay entitlement (SMP)**

3.20 In order to qualify for 39 weeks SMP you must:

- have at least 26 weeks' continuous service by the end of the 15th week that your baby is due
- have average weekly earnings of not less than the lower earnings limit for the payment of National Insurance Contributions (NIC)
- still be pregnant at the 11th week before your baby is due
- have notified Strata Service Solutions in writing of your maternity absence detailing commencement dates (Human Resources can provide advice if required)
- have provided medical evidence in the form of a MATB1 usually issued by a Midwife at around 20 weeks
- take maternity leave.

3.21 SMP is payable whether or not you intend to return to work.

3.22 SMP is payable for a maximum of 39 weeks and is only payable if you are absent from work on maternity leave. The SMP pay period can start any day that has been specified following the day on which you last worked before starting your maternity leave.

3.23 The exact amount of the SMP that you are entitled to receive will vary depending on your earnings and the amount of maternity leave you take. As a general rule you can expect to receive the following:

- higher rate SMP for the first 6 weeks (equal to 90 per cent of your average earnings in the qualifying period. The qualifying period is the 8 week period immediately preceding the 14th week before the EWC)
- lower rate SMP for up to 33 weeks thereafter.

3.24 Payment is based upon the number of whole weeks within the pay period.

For example:

If maternity leave commenced on a Tuesday, maternity pay would be paid Tuesday through to Monday.

3.25 SMP will be paid into your bank account on the same date that your adjusted salary would have been payable and will be subject to deductions for tax and national insurance in the usual way.

### **Payment of SMP upon termination of employment**

3.26 If your employment with Strata Service Solutions were to come to an end after the start of the 15th week before your EWC, due to either voluntary resignation or dismissal, Strata Service Solutions has an obligation to continue to pay you your SMP providing you qualify for payment of SMP. This applies to both permanent and fixed term employees.

3.27 SMP payments are made for a maximum of 39 weeks and will be paid to you in your final salary. If you take up any form of employment in the intervening 39 week period that SMP payment applies you will have received monies that are not due and there will be a requirement to repay the Company. You will be advised of this in writing if a final SMP payment is made to you.

### **Maternity allowance**

3.28 If you do not qualify for SMP because you do not meet the lower earnings limit or because you do not have sufficient service to qualify you may be entitled to claim state Maternity Allowance, this is also payable for a period of 39 weeks. Payroll Services will be able to advise you of how to claim and issue you with a SMP1 which you will need to take to your local social security office.

## **4 Keeping in touch and working during maternity leave**

4.1 Keeping in touch days (KIT) have been introduced in order to assist you in returning to work. If you are on maternity leave you are entitled to work, including participating in training or any activity which is undertaken for the purposes of keeping in touch, for up to a maximum of 10 days without affecting entitlement to Maternity Pay.

4.2 These days may also be used towards the end of the maternity period in order to phase your return to work. KIT days can only apply to work which falls under your contract of employment. If you work for another employer in this time your Maternity Leave will come to an end. If you work for more than 10 days in the Maternity Pay period you will lose SMP for the week in which you carry out any further work, even if this is for one day.

4.3 You will not be permitted to attend work for a KIT day in the two weeks immediately after the birth of the baby for health & safety reasons. There is no

requirement to use the entitlement to KIT days in the maternity period; it is entirely voluntary, and you will be protected from detriment if you choose not to work whilst on leave. You should not exercise your right to use a KIT day without prior agreement of your Line Manager; this is so that you can both agree on what you will be doing in that time.

#### **Pay when using a keeping in touch day**

4.4 You will be paid normal pay which will be offset against any Maternity Pay that you are in receipt of at the time of working a KIT day. If you have exhausted all Maternity Pay you will still receive a normal day's pay.

#### **Reasonable contact during maternity leave**

4.5 Reasonable contact may be maintained by yourself and your Line Manager during Maternity Leave for discussions such as returning to work, this would not be considered as work and would therefore not count towards any of the 10 days.

#### **Returning from maternity leave**

4.6 If you return to work at the end of your full maternity leave period, you do not need to notify us in advance of the date of your return.

4.7 If you wish to return to work **before** the end of your maternity leave period you must give your Line Manager at least 8 weeks advance notice. If you fail to do so, your return to work may be postponed to a date that will ensure that the notice period is served.

4.8 The job that you will be entitled to return to will be as follows:

- returning after ordinary maternity leave – you will be entitled to return to the same job on same terms and conditions as if you had not been absent.
- returning after additional maternity leave – you will be entitled to return to the same job on same terms and conditions unless this is not reasonably practicable, in which case you will be entitled to be offered suitable alternative work.

## **5 Altering an early return date**

5.1 If you change your mind about the date you intend to return to work and want to return earlier than specified you will still need to provide at least 8 weeks notice before the new date.

5.2 If you wish to postpone your early return you will need to give at least 8 weeks notice of this before the original early return date.

## **6 Sickness before statutory maternity leave**

6.1 If you fall sick during your pregnancy, any Occupational Sick Pay (OSP) due will be paid up until the fourth week of EWC unless you have already commenced maternity leave.

6.2 If you are still working within 4 weeks of the EWC and you are off sick for a reason which is not related to your pregnancy, you will still be paid occupational sick pay. An example of this would be sickness due to flu.

6.3 If the sickness is pregnancy related, the Company has discretion to trigger the commencement of your maternity pay period automatically. Human Resources will write to notify you if this is the case.

### **Sickness during maternity leave**

6.4 Maternity leave is distinct from sick leave and will not be treated as such for the purposes of calculating entitlement to sickness leave. If you are sick whilst on Maternity leave you will not need to comply with the Absence Policy and the reporting procedure.

### **Sickness after maternity leave**

6.5 Normal sick arrangements will apply if an employee is sick at the end of the maternity leave period.

## **7 Flexible working**

7.1 If you wish to vary your working pattern on return from maternity leave, you have the statutory right to request a flexible working pattern, as explained in the Flexible Working Policy (available on the Intranet).

7.2 You may wish to mention to your Line Manager before you go on maternity leave that you are interested in applying to work flexibly on your return. Bear in mind that you may need to attend meetings at the office so that your request can be properly considered. Attending such discussion meetings will not be considered as a KIT day. If you want the changes to take effect on your return from maternity leave, you should make your application in good time.

## **8 Annual leave**

8.1 Full annual leave entitlement is accrued throughout ordinary and additional maternity leave.

8.2 Annual leave cannot be paid at the same time as SMP and cannot be taken during the additional unpaid maternity period otherwise this will interrupt the maternity period and it will end. Annual leave may be tagged to the start or end of maternity leave.

8.3 If maternity leave straddles two holiday years you may take all leave that will accrue during your maternity leave that you would otherwise lose. In exceptional circumstances, the Chief Operating Officer, may grant payment in lieu for a proportion of your annual leave where your agreement is gained.

### **Public holidays & Extra Statutory Days**

8.4 Any Statutory Bank Holiday days and Extra Statutory Days which occurred in the period you were on ordinary maternity leave and additional maternity leave will be provided to you as a substitute paid days leave at a later date in accordance with the Company's leave policy. Leave will be calculated pro rata for part timers.

## **9 Allowances**

9.1 The following allowances will continue to be paid throughout ordinary and additional maternity leave;

- Essential user allowance
- Telephone user allowance
- First aid allowance
- Homeworking allowance

## **10 Still birth**

10.1 Maternity leave may still be taken by an employee who has a still birth after a pregnancy that has lasted 25 weeks or more.

10.2 Counselling is also available and information is available from Human Resources or your Line Manager.

## **11 A week's pay**

11.1 A week's pay where hours do not vary will be the amount normally paid to you for working your contractual hours.

11.2 Where the hours of work vary, a week's pay will be the average remuneration in 8 week period preceding the 15<sup>th</sup> week before the baby is due.

## 12 Maternity obligations at a glance

From Week 20 ( Prior to expected week of confinement)	<ul style="list-style-type: none"> <li>This is the earliest date that your midwife will issue you with a MatB1 (20 weeks)</li> <li>This is the latest date that you can inform your Line Manager and HR if you wish to commence your maternity leave 11 weeks before the EWC.</li> </ul>
Week 15 (Prior to Expected week of Confinement)	<ul style="list-style-type: none"> <li>To receive SMP you should have completed 26 weeks service with the Company.</li> </ul>
Week 11 ( Before EWC)	<ul style="list-style-type: none"> <li>This is the earliest date that you can start maternity leave. <b>NB</b> Please remember you need to give at least 28 days notice of the date that you wish to commence maternity leave</li> </ul>
<b>Expected Actual Week of Confinement</b>	
Weeks 1& 2	Compulsory Maternity Leave (No KIT DAYS Permitted)
Week 3	Earliest you can return to work
Week 26	<ul style="list-style-type: none"> <li>Last week of Ordinary Maternity Leave</li> </ul>
Week 39	<ul style="list-style-type: none"> <li>Last week of receiving paid Statutory Maternity Leave</li> </ul>
Week 52	<ul style="list-style-type: none"> <li>You must return to work on the first working day after additional maternity leave is exhausted, you will be notified of this date in writing.</li> </ul>
0 - 30 working days after your date of return to work	<ul style="list-style-type: none"> <li>Ensure you have advised Payroll if you wish to make contributions to your pension for the duration of additional unpaid maternity leave.</li> </ul>

## 13 Paternity Leave

13.1 You are eligible for paternity leave if you are:

- the biological father of the child or the mother's husband or partner/ civil partner; and
- you have or expect to have responsibility for the upbringing of the child; and
- you are taking time off to support the mother or care for the child.

### Amount of leave, payment and timing of leave

14.1 You are entitled to take two weeks' ordinary paternity leave provided that you have at least 26 weeks' continuous service by the end of the 15<sup>th</sup> week before the week

in which the child is expected to be born.

14.2 The two weeks' ordinary paternity leave must be taken in a single block after the birth of the baby and within 56 days (8 weeks) of the birth.

14.3 Pay during ordinary paternity leave will be at a Statutory Paternity Pay (SPP) rate set by the Government for the relevant tax year, or at 90% of your average weekly earnings, if this figure is lower than the Government's set weekly rate.

14.4 If you work part time, paternity entitlements will be pro-rated.

14.5 You will only be able to take a maximum of two weeks leave irrespective of the number of children born as a result of the same pregnancy.

14.6 Should you wish to attend ante natal appointments this time should be taken as flexi, TOIL, annual leave or unpaid and must be agreed in advance with your line manager.

### **Procedure**

14.7 You should notify your Line Manager and Human Resources of your intention to take paternity leave at least 28 days before you wish the leave to begin. This notification should also indicate how much Paternity leave you intend to take. You should provide a copy of the Mothers MATB1 which is usually issued from around 20 weeks into the pregnancy to Human Resources. To receive SPP please also complete and send to Payroll services the Inland Revenue form SC3 available from Payroll Services or from the HMRC website [www.hmcr.gov.uk](http://www.hmcr.gov.uk) You can change the dates of your Paternity Leave but you should ensure that at least 28 days' notice of the expected date is provided.

## **15 Pension Contributions**

16.1 Pension contributions will continue to be deducted from any Statutory Paternity Pay.

## **16 Annual leave**

17.1 Full annual leave entitlement is accrued throughout paternity leave.

17.2 Annual leave cannot be paid at the same time as SPP and cannot be taken during the paternity leave period otherwise this will interrupt the paternity period and it will end. Annual leave may be tagged to the start or end of paternity leave.

## 17 Policy Status

18.1 Strata reserves the right to amend and update this policy as required. For the avoidance of doubt, this policy does not form part of employees' contracts of employment.

APPENDIX

**This page is intentionally left blank**

# Strata Service Solutions Ltd

## Adoption Leave Policy

### 1 Aims of the policy

1.1 This policy sets out the rights of employees in relation to statutory and occupational adoption leave and pay.

1.2 The Company has attempted to outline a clear adoption policy. However, as the adoption leave provisions are complex, if you are adopting a child you are encouraged to clarify the relevant procedures with your HR Business Partner to make sure that these are covered correctly.

1.3 This policy is supported by other policies and procedures such as the Absence Management Policy, Maternity Leave Policy, Flexible Working Policy, Unpaid Parental Leave Policy and the Shared Parental Leave policy.

### 2 What is the company's policy

2.1 An employee who has been notified of having been matched with a child under the age of 18 years for adoption by an adoption agency and has been elected as the child's adopter will have the following entitlements as set out below, provided the qualification criteria have been met.

#### 2.2 Eligibility for Adoption Leave

2.2.1 An employee who adopts a child is entitled to up to 52 weeks' adoption leave (regardless of their length of service). This also applies to intended parents in surrogacy and 'foster to adopt' arrangements.

#### 2.3 Notice requirements

2.3.1 If you are adopting a child from the UK you should inform the Company in writing of your intention to take adoption leave no later than 7 days after the date on which you receive notification of the match with the child from the adoption agency. You should include the following pieces of information:

- the fact that you are adopting a child
- the date the child is to be placed with you for adoption
- the date on which you intend to start your adoption leave.

2.3.2 You must also provide a 'matching certificate' which will be given to you by the adoption agency which should also include the name and address of the adoption agency.

2.3.3 If you are adopting a child from overseas you should inform the Company in writing of your intention to take adoption leave within 28 days of the official notification.

You should include the following pieces of information:

- the fact that you are adopting a child
- the date the child is expected to enter Great Britain

You must give at least 28 days notice of when you wish to start your adoption leave.

2.3.4 If adopting a child from overseas you must provide a copy of the official notification and evidence of the child's date of entry into Great Britain.

## 2.4 Adoption Leave

2.4.1 Adoption leave can start on the day the child is placed for adoption or up to 14 days earlier for a child adopted within the UK. If you are adopting a child from overseas your adoption leave can start on the day the child enters Great Britain or on a predetermined date that is no later than 28 days after the date on which the child enters Great Britain.

2.4.2 You are entitled to 52 weeks adoption leave. This is made up of 26 weeks ordinary adoption leave and 26 weeks additional adoption leave irrespective of the number of hours you work each week. A week is a period of 7 days beginning with a Sunday. You are only entitled to one period of leave even if more than one child is being adopted at the same time.

2.4.3 You are permitted to bring forward your adoption leave start date provided that you advise the organisation at least 28 days before the new start date or, if that is not possible, as soon as reasonably practicable. You may also postpone your Adoption leave start date, provided that you advise the Company at least 28 days before the original proposed start date, or if that is not possible as soon as reasonably practicable.

2.4.4 The Company will respond formally in writing to your notification of your leave plans within 28 days, confirming the date on which you are expected to return to work if you take your full 52 week entitlement of adoption leave.

## 2.5 Adoption Pay

2.5.1 **Statutory adoption pay entitlement (SAP)** is payable, provided you qualify, for 39 weeks. In order to qualify for SAP you must:

- have at least 26 weeks' continuous service by the end of the week you received notification of a match
- in the case of an adoption from overseas, an employee only need be employed for at least 26 weeks

- have average weekly earnings over the eight week period ending with the relevant week of not less than the lower earnings limit for the payment of National Insurance Contributions (NIC). In the case of an adoption from overseas, the relevant week is the week in which the official notification is sent to the adopter or the week which the employee has been continuously employed for at least 26 weeks whichever is the later
- have notified Strata Service Solutions in writing 28 days before the start of the SAP period or as soon as practicably possible and of the date the child is to be placed for adoption. Additional information is required for a child adopted from overseas, the official date on which notification was received and the date on which the child enters the UK
- have provided a matching certificate provided by the adoption agency, this should include details of the name and address of the adoption agency
- take statutory adoption leave
- not take paternity pay

2.5.2 SAP is payable whether or not you intend to return to work and is not repayable if you do not return to work for any reason.

2.5.3 SAP is payable for a maximum of 39 weeks and is only payable if you are absent from work on adoption leave. The SAP pay period generally starts on the Sunday following the day on which you last worked before starting your adoption leave.

2.5.4 The exact amount of the SAP that you are entitled to receive will vary depending on your earnings and the amount of adoption leave you take. As a general rule you can expect to receive the following:

- higher rate SAP for the first 6 weeks (equal to 90 per cent of your average earnings in the qualifying period. The qualifying period is the 8 week period prior to the relevant week of adoption).
- lower rate SAP for up to 33 weeks thereafter.

2.5.5 SAP will be paid into your bank account on the same date that your salary would have been payable and will be subject to deductions for tax and national insurance in the usual way.

2.5.6 If you are employed on a fixed term contract and your contract is not extended beyond the end date of the contract for an objective reason such as lack of funding you *may* still be entitled to SAP. SAP payments are made for a maximum of 39 weeks and any outstanding SAP payments that you *may* be due will be paid to you in your final salary. If you take up any form of employment in the intervening period that SAP payments apply you will have received monies that are not due and there will be a requirement to repay the Company. You will be advised in writing if a final SAP payment is due to be made to you.

**2.5.7 Statutory adoption allowance (SAA)** is payable to some employees who do not qualify for SAP. If you do not qualify for SAP because you do not meet the lower earnings limit or because you do not have sufficient service to qualify Payroll Services will be able to advise you of how to claim SAA and issue you with a SAP1 which you will need to take to your local social security office.

2.5.8 Whilst receiving adoption pay, you will continue to make pension contributions on the revised pay. This reduced payment will not affect your pension benefits as these will be based on the normal pay you would have received. This is known as 'assumed pensionable pay'. When you commence the additional unpaid adoption leave period, your pension benefits will be reduced unless you opt to make up the lost pension. Payroll Services will advise the cost of this and agree a repayment period. You will have 1 month from the date of return to work to make a decision.

## **2.6 Time Off for before the adoption placement begins**

2.6.1 As the child's primary adopter you are entitled to take paid time off of work to attend up to 5 appointments arranged by, or at the request of the adoption agency for the purpose of having contact with the child or for any purpose connected with the adoption. Paid time off for these appointments will be limited to 6.5 hours per appointment.

2.6.2 You should endeavour to give your line manager as much notice as possible of these appointments and wherever possible try to arrange them as near to the start or end of the working day as possible.

2.6.3 Where you are jointly adopting a child with your partner, your partner will be entitled to unpaid time off to attend two appointments up to a maximum of 6.5 hours at a time. Your partner should ask his or her employer for further information regarding this right.

## **2.7 Your rights during adoption leave**

2.7.1 Your contractual benefits remain during weeks 1-39 of your adoption leave except for your salary. This includes holiday accrual and your occupational pension benefit.

2.7.2 Whilst you are absent from work on additional unpaid adoption leave, irrespective of length of service or hours worked your contractual benefits remain except for salary and occupational pension benefits.

2.7.3 If you decide to make contributions towards your pension for the period of additional unpaid adoption leave then the Company will also pay contributions for this period of time based on your full pay.

2.7.4 Full annual leave entitlement is accrued throughout ordinary and additional adoption leave.

2.7.5 Annual leave cannot be paid at the same time as SAP and cannot be taken during the additional unpaid adoption period otherwise this will interrupt the adoption period and it will end. Annual leave may be tagged to the start or end of the adoption leave period.

2.7.6 If your adoption leave straddles two holiday years, you may take all leave that will accrue during your adoption leave that you would otherwise lose. Your manager may grant carry over of more than 3 days of the annual leave entitlement or may provide payment in lieu for a proportion of your annual leave where your agreement is gained.

2.7.7 Any statutory bank holidays or extra statutory days which occurred in the period you were on ordinary and additional adoption leave will be provided to you at a later date.

## **2.8 Contact during adoption leave and keeping in touch days**

2.8.1 The Company reserves the right to maintain reasonable contact with you during adoption leave. This may be to discuss your plans for returning to work or to discuss any special arrangements or training to help ease your turn to work or perhaps to update you on developments at work in your absence.

2.8.2 You can agree to work for the Company or to attend training for up to 10 days during your adoption leave without the work bringing your adoption leave to an end and without the loss of a week's statutory adoption pay. These are known as 'keeping in touch days' and any work carried out on a day shall constitute a day's work for these purposes.

2.8.3 The Company has no right to require you to carry out any work and you have no right to undertake any work during adoption leave.

2.8.4 You will be paid normal pay which will be offset against any adoption pay that you may still be in receipt of.

## **2.9 Returning to work after adoption leave**

2.9.1 You may return to work at any time during ordinary adoption leave or additional adoption leave provided that you give the appropriate notification. Alternatively, you may take your full period of adoption leave entitlement and return to work at the end of this period. If you wish to return before the full period of adoption leave has elapsed, you must give at least eight weeks' notice in writing to the Company of the date on which you intend to return.

2.9.2 You have the right to resume working in the same job if returning to work from ordinary adoption leave. If you return to work after a period of additional adoption leave, you are entitled to return to either the same job or, if this is not reasonably practicable to

another suitable job that is on terms and conditions not less favourable.

2.9.3 Failure to return to work by the end of the adoption leave will be treated as unauthorised absence unless you are sick and produce a current medical certificate before the end of the adoption leave period.

2.9.4 If you decide during adoption leave that you do not wish to return to work, you should give your written resignation to your line manager as soon as possible.

2.9.5 If you wish to return on different hours or a different working pattern, you have the statutory right to request which is outlined in the Company's flexible working policy. You will need to make your application in good time and time attending meetings in relation to your request will not be treated as keeping in touch days.

## **2.10 Paternity Leave**

2.10.1 An employee is eligible to paternity leave if they are:

- the primary adoptive carer's wife, husband or partner, or civil partner
- have or expect to have responsibility for the upbringing of the child
- taking time off to support the primary adopter or care for the child.

2.10.2 You are entitled to take two weeks' ordinary paternity leave provided that you have at least 26 weeks' continuous service by the week in which the child's adopter is notified of having been matched with the child for adoption.

2.10.3 You must give written notice of your intention to take ordinary paternity leave no later than 7 days after the date on which notification of the match with the child was given by the adoption agency. The notice must specify the date the child is expected to be placed for adoption, the date you intend to start ordinary paternity leave, and the date you were notified of having been matched with a child.

2.10.4 The two weeks' ordinary paternity leave must be taken in a single block within 56 days (8 weeks) of the child's placement.

2.10.5 Pay during ordinary paternity leave will be at a Statutory Paternity Pay (SPP) rate set by the Government for the relevant tax year, or at 90% of your average weekly earnings, if this figure is lower than the Government's set weekly rate.

2.10.6 If you work part-time you will be entitled to paternity leave and pay on a pro-rata basis.

2.10.7 You will only be able to take one period of leave irrespective of the number of children adopted at the same time.

2.10.8 If you wish to take a period of Paternity Leave, you should notify your Line Manager and Human Resources of your intention at least 28 days before you wish the

leave to begin, if this is possible. You should provide a copy of the Matching Certificate which is issued by the adoption agency.

## **2.11 Transferring adoption leave (shared parental leave)**

2.11.1 Shared parental leave is available in relation to children who are placed for adoption on or after 5 April 2015. Shared parental leave enables you as the primary adopter to commit to ending your adoption leave and pay at a future date and to share the untaken balance of leave and pay as shared parental leave with your partner.

2.11.2 Shared parental leave must be taken in blocks of at least one week. Individuals can request to take shared parental leave in one continuous block (in which case the Company is required to accept the request as long as the individual meets the eligibility and notice requirements), or as a number of discontinuous blocks of leave (in which case this will need to be agreed with the Company).

2.11.3 So that you can take parental leave, an employee must meet various eligibility requirements and comply with the relevant curtailment, notice and evidence requirements. This includes the primary adopter curtailing their adoption leave.

2.11.4 Please refer to our policy on shared parental leave, where you will find full details of the eligibility requirements as well as instructions as to how the primary adopter's adoption leave can be curtailed. The Company's policy on shared parental leave sets out the notice periods with which you must comply and what evidence you must provide. The policy also sets out more details on pay for shared parental leave.

2.11.5 Both primary adopter and their partner should ensure that they are liaising with their own employers when making requests for shared parental leave.

## **6 Related Policies**

- Shared parental leave
- Paternity leave
- Unpaid parental leave
- Flexible working policy

## **4 Policy Status**

4.1 Strata reserves the right to amend and update this policy as required. For the avoidance of doubt, this policy does not form part of employees' contracts of employment.

**This page is intentionally left blank**

By virtue of paragraph(s) 1, 2, 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

**This page is intentionally left blank**

By virtue of paragraph(s) 1, 2, 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

**This page is intentionally left blank**

By virtue of paragraph(s) 1, 2, 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

**This page is intentionally left blank**