

Schedule 29

Authority Policies

- 1) *Authority Health and Safety Policy including the following sub-policies*
 - a) *Substance Abuse Policy*
 - b) *Violence at Work Policy*
 - c) *Smoke Free Policy*
 - d) *Stress Management Policy*
 - e) *Legionella Policy*
- 2) *Highway Tree Replacement Policy*
- 3) *Winter Maintenance Policy*
- 4) *Uncontrolled Tactile Crossing Standard Detail*
- 5) *Authority's Customer Complaints Procedure*
- 6) *Caring Contractor Scheme*
- 7) *Authority Business Continuity Plan*
- 8) *Authority's Web Accessibility Standard Policy*
- 9) *Authority's Branding Policy*
- 10) *Authority's Information Security Policy*
- 11) *Terms of Reference Policy*
- 12) *Authority's Customer Charter*

1. Authority Health and Safety Policy

Health & Safety Policy

 2009-2011

Sheffield City Council
Occupational Health and Safety
Tel: XXXXXXXXXX
www.sheffield.gov.uk

Sheffield *where everyone matters*

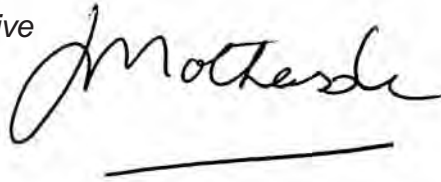


A message from John Mothersole, Chief Executive

High standards of health and safety are an essential feature of the way that I expect all of Sheffield City Council's services to operate, and for all of us who work for Sheffield to contribute towards. Health and Safety is something where every person's individual effort makes a real difference and one of the features of the period of this new Policy will be employee and manager engagement and close work with Trade Union health and safety representatives to help raise standards.

Please read the Policy and put it into action in your own area of responsibility. If you have any comments on the Policy I would be interested to receive them.

John Mothersole
Chief Executive



Date: 18 November 2009

Our Commitment

Sheffield City Council is committed to the delivery of excellent services to all of our customers. Our definition of excellent includes that services will be delivered with high standards of health & safety. Our duty, and our intention, includes taking care of everyone who may be affected by our activities: employees, customers, the public, contractors and those we work alongside in partnership arrangements.

Leadership

Responsibility for health & safety starts with, and is led by, Executive Management Team. EMT will ensure the Council has effective arrangements to:

- Set high standards
- Allocate attention and resources
- Use our influence both formally and by example
- Receive information on a regular basis to monitor progress and performance
- Recognise achievement and require improvements where needed
- Involve our employees and their Trade Unions.

There is a collective role for EMT but to ensure access and attention, EMT's nominated lead to champion health & safety is the Chief Executive.

Elected Members

There will be a quarterly meeting with the Leader and Deputy Leader to enhance Elected Member involvement in health and safety issues and each year there will be an Annual Report on health and safety submitted to the appropriate Scrutiny Board

Directors and Other Managers

All managers need to ensure that significant health & safety risks in their areas of responsibility are identified and managed effectively.

This includes meeting the common objectives and compliance standards of the council's health & safety management system.

Employees

All employees have a legal duty to take care of themselves and others around them. This will include following safe working procedures, safety arrangements for buildings and sites, acting on training and instruction received etc. The Council also recognises that employees are a powerful force for improvement of health & safety standards. Employees will be involved in planning, in developing ideas, and enabled to work together with managers to deliver excellent services safely and without risk to health.

Trade Unions

Trade Unions have rights to be consulted and involved; that will be met but the Council will seek to go beyond simple compliance and enhance existing joint working to develop a partnership for health & safety that will help raise standards and improve safety performance.

Working with Others

Partnership working is now routine for most services and an essential part of the Council's service delivery. Services will be expected to use formal contracting arrangements, day to day joint working and our influence and example to ensure that where the Council and other organisations work together we will achieve high standards of health & safety.

Review

This Policy will be subject to annual review where progress towards its objectives will be assessed and its direction and priorities confirmed or changed.

Action Plan

The key priorities in this policy will focus on:-

- 1 Improving the management of health and safety
- 2 Addressing non-compliance issues in higher risk areas
- 3 Thorough investigation and action following serious accident/incident
- 4 Improving employee engagement



Action Plan and Priorities – 2009/10

This action plan supports Sheffield City Council Health and Safety Policy 2009/11 and shows the actions to be taken during 2009/10 to address the Council's key priority areas.

Priority Area	Action	Responsibility	Timescale for action
<p>1. Improving management of health and safety.</p> <p>Establishing a common health and safety management system across the Council</p>	Each service to nominate a member of SMT/SLT to lead the implementation of the Council's health and safety management system at service level	Service Directors	By February 2010
	Each Portfolio Leadership Team to nominate a member of the team to lead on the implementation of Council's health and safety management system at Portfolio level	Executive Director	By February 2010
	Each service to review and amend their organisation and arrangements (i.e. how responsibilities are delegated within the service and safety management arrangements) for health and safety to ensure that there are clear standards and allocation of responsibilities, competent staff and that robust performance information, based on risk is collected and used to improve performance.	SMT/SLT	By April 2010
	All Directors to attend IOSH "Safety for Senior Executives" course	Directors	By end of March 2010
<p>2. Addressing non-compliance issues in higher risk areas</p>	<p>The OH& Safety Service to carry out/arrange a series of inspections/audits of identified higher risk issues. Inspections/audits to be a mix of "in house" checks and external challenge (e.g. via our Insurers)</p> <p>Inspection/Audit Issues</p> <ul style="list-style-type: none"> • Competency – assess SCC ability to evidence that employee/manager competencies in higher risk areas are suitable and current • Maintenance – assess SCC ability to evidence that safety critical plant and equipment in higher risk areas is maintained and tested so as to operate safely and legally • Contracts – check arrangements for delivery of services via contractors – in conjunction with the Commercial Director 	OD Manager Safety & Employee Wellbeing	To prog. within 2009/10

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Priority Area	Action	Responsibility	Timescale for action
<p>3.</p> <p>Thorough investigation and action following serious accident/ incident</p>	<p>Improve consistency of use of RIDDOR accident investigation protocol, in use in some services</p>	<p>OD Manager Safety & Employee Wellbeing/ Service Directors</p>	<p>In the event of an incident occurring</p>
<p>4.</p> <p>Clarification and standardisation of what is required to achieve improved standard of health and safety</p>	<p>All new health and safety advice to be clearer in terms of setting out what SCC Policy/standard/management action and monitoring requirements are. Refresh of existing health and safety advice on risk based prioritisation including:</p> <ul style="list-style-type: none"> • Lone working • Stress 	<p>OD Manager Safety & Employee Wellbeing</p>	<p>To prog. 2009/ 2011</p>
<p>5.</p> <p>Improving employee engagement</p>	<p>Each service to consider the effectiveness of current employee engagements and to introduce improved arrangements which raise its profile</p>	<p>SLT's</p>	<p>By end of March 2010</p>



SUBSTANCE MISUSE IN THE WORKPLACE

POLICY DOCUMENT

1.0 INTRODUCTION

- 1.1 The Council acknowledges that there is a growing problem, nationally and locally, of persons using legal and illegal substances and that this could affect any employee regardless of age or status within the Authority.
- 1.2 The Council further recognises that issues related to alcohol and other substance misuse could impact on the services it provides if employees are under the influence of one or more substances.
- 1.3 Alcohol and other substances become a problem when a person takes them continually, repeatedly or occasionally and the effects (or after effects) of the substance interfere with that person's health and/or work performance.
- 1.4 The Council also recognises that when an employee is under the influence of alcohol or other substance the risk of them being involved in an accident, making an error of judgement and/or for reduced performance increases.
- 1.5 The Council will provide a supportive environment in which an employee is encouraged to voluntarily seek help for a substance-related problem by informing the Manager. **(Appendix 1)**
- 1.5.1 However, the Council is committed to tackling this problem. The Disciplinary Procedure will be automatically considered for any employee found to be under the influence of alcohol or other substance in the workplace who has not previously declared a substance related problem as in 1.5. **(Appendix 2)**

2.0 IN SUMMARY THIS GUIDANCE WILL:

- 2.1 Enable Council Manager's to manage the health and safety risks associated with substance misuse issues in the workplace, ensuring that:
 - 2.1.1 The health and safety of the individual employee and/or others (employees and service users) is not compromised because of any substance that they may have been taken/used.
- 2.2 Help towards ensuring that employees work within the Code of Conduct, which makes specific reference to the use of alcohol or other substances.

2.3 Provide information to Managers, Personnel staff and Trade Union representatives about recognising alcohol and other substance related problems in the workplace.

3.0 ACTION

3.1 There are two routes of action that will be taken when a manager is aware that an employee has a substance misuse problem:

3.1.1 Employees who acknowledge, of their own accord, that they have a substance misuse problem will be given help to seek appropriate support to deal with the issues. **(See Appendix 1)**

3.1.2 Employees found to be under the influence of, or taking of alcohol or illegal drugs whilst at work will be dealt with under the Council's Disciplinary Procedures. **(See Appendix 2)**

Issued
February 2004

This Policy document replaces the Alcohol and Drug Misuse Policy Dated November 1992.

APPENDIX 1**SUBSTANCE MISUSE IN THE WORKPLACE
PROCEDURE****MANAGEMENT AND SUPPORT OF AN EMPLOYEE WHO VOLUNTARILY
STATES THAT S/HE HAS A SUBSTANCE MISUSE PROBLEM**

- 1. When an employee notifies you of a substance related problem you should:**
 - 1.1. Not be judgmental.
 - 1.2. Arrange to speak with the employee in private, allowing the employee the time to express their concerns.
 - 1.3. Explain that you will need to contact Occupational Health and Personnel, who will give further advice about this guidance and how it can support both the employee and you as a Manager.
 - 1.4. Consider whether it is safe for the employee to continue to work that day, talk to the OHN if the safety of the employee or others may be jeopardised.
 - 1.5. If it is agreed that the employee would not be safe at work contact Personnel and with their support instruct the employee to go home. This will be classed as sickness absence until further information is obtained from the Occupational Health Nurse.
 - 1.6. Telephone Occupational Health and make a written referral stating what you have been told, any concerns you previously had about the employee and details of the job that the person undertakes.
 - 1.6.1. The OHN will meet with the employee following the referral. If the employee acknowledges a substance misuse problem and seeks help for that problem then a 'contract' will be agreed with the employee and guidance will be given to you.
- 2. Follow the guidance from the Occupational Health Nurse:**
 - 2.1. Commence monitoring of the employee using the 'Managing Attendance and Capability at Work Procedure'.
 - 2.2. Allow reasonable time off to attend appointments with Occupational Health and possibly external support agencies.
 - 2.3. Continue to meet with the employee to discuss their progress.

- 2.4. Be aware of possible relapses when the employee may be under the influence of a substance whilst at work. (Contact Occupational Health should this happen).

3.0 Contract for Support

- 3.1 This will take the form of regular meetings with the OHN, the Manager, the employee's General Practitioner and, usually, an external specialist organisation.
- 3.2 The employee must agree not to be under the influence of alcohol or any other substance whilst at work. This includes smelling of alcohol or displaying the after effects of substance misuse during working hours.
- 3.3 The employee will be placed into the Council's Managing Attendance and Capability at Work procedure as a way of formally monitoring progress.
- 3.4 Failure to attend the meetings or being under the influence of any substance whilst at work could lead the employee breaking the contract and, therefore, being removed from the protection offered under this Guidance.
- 3.5 Withdrawing from a substance misuse problem is not easy and there will be times when the employee breaks an aspect of the contract. Discretion, with appropriate advice from Occupational Health and Personnel will be used to support the employee through relapses. However, if there is a serious breach of the contract or the employee does not remain focused on tackling the problem, disciplinary action may commence at the appropriate level. Disciplinary action will always be the first consideration in instances where the health and safety of the employee or others is compromised.

4.0 If the 'contract' is broken:

- 4.1 The Council's Disciplinary procedure will commence at the appropriate level.

APPENDIX 2**Employees found to be under the influence of alcohol/other substance whilst at work who has not previously notified their Manager****1. The Code of Conduct:**

- 1.1. Employees need to be aware that management will make reference to the "Corporate Code of Conduct" as implemented by Sheffield City Council in May 2001 which makes reference to alcohol and substance misuse.

2. This Appendix will apply when:

- 2.1. The employee has **not** previously notified the Council that they have a problem related to a substance.
- 2.2. The Manager has reasonable reason to believe that an employee is under the influence of alcohol or other substance whilst at work, or
- 2.3. Has broken the trust and confidence of the employer because of actions that they have taken outside of work.

3. Action

- 3.1. The Manager will be required to take action when:
 - 3.1.1. An employee starting, or returning to, work appears to be under the influence of alcohol or any other substance, or
 - 3.1.2. An employee is found to be taking, or using, any substance at work.
- 3.2. When the employee's actions fall under section 3.1 the Council's Disciplinary procedure will be used.
 - 3.2.1. If this occurs the Manager **must** contact Personnel for immediate advice, which could, dependant on circumstances, involve suspending the employee.
 - 3.2.2. There will not be the opportunity for an employee to enter into a contract for support (as Appendix 1) in the same way as an employee who has volunteered to use the Policy. In these circumstances (as Appendix 2) entry into a contract for support will only take place as an outcome of a disciplinary process.
- 3.3. The safety of the employee and/or others is paramount, as is the reputation of the Council. This will be the overriding consideration when deciding the level of action to take.

4. Activities outside of work

In some instances activities outside of work can lead to a loss of trust and confidence in an employee. When this type of activity is related to a substance misuse issue this guidance will be applied, irrespective of whether the activity occurred at or away from work.

5. Testing

Sheffield City Council does not, at this time, test employees for the evidence of any substance within their body. This includes random testing, post incident testing or where an employee may request it to demonstrate that they do not have a substance in their body.

Sheffield City Council

VIOLENCE AT WORK

A Policy Statement

1 Introduction

The Council has had a policy on violence at work for many years. The purpose of this policy is to minimise the risk to employees being subject to violence at work by putting in place a range of strategies. This document follows a review of that policy and reflects the intention of the Council, its managers, employees and trade unions to seek to continually improve the Council's performance in managing risks of violence.

2 Definition of Violence

This includes not only physical attacks but threats and fear of violence, verbal abuse, racial, homophobic and sexual harassment and animal attack. It also includes violence towards an employee's family, or damage to their property, which relates to the employee's work.

3 Requirements of this Policy

A fundamental principle of this policy is that violence towards employees is unacceptable.

The Council will:-

- treat any incidents of abuse, threat, or assault on its employees very seriously and will take appropriate action against perpetrators. Action may include withdrawal of service and legal remedies;
- make information, advice, resources, training and support available to managers and employees to assist them in meeting the requirements of this policy;
- provide physical assault insurance to all employees and inform them of the terms and benefits;
- provide employees with access to critical incident debriefing where appropriate.

This policy will be reviewed as part of the implementation of the Best Value Review of Behaviour (November 2006)

- receive reports on the effectiveness of this policy and review the policy as appropriate;
- consult trade unions and employees on violence issues;
- provide a means for trade unions to call a case conference at corporate level if there is a serious incident which they feel needs this approach;
- work constructively with our partners, contractors and other agencies in the city (eg, SY Police).

This policy requires that

- managers identify, assess, record and keep under review violence risks. They will develop working arrangements, provide appropriate equipment, resources, training and support to reduce and control violence risks. This includes regular consultation with staff and their representatives;
- managers follow reporting arrangements and provide appropriate support to employees in line with violence at work guidelines;
- employees co-operate with managers and other colleagues in complying with any working arrangements made to reduce and control violence risks;
- both corporately and in Directorates, violent incidents will be monitored and the information used to help manage risk.

4 Review Arrangements

This policy will be subject to review no later than June 2006.

June 2004

Incidents between employees will be dealt with under the Council's personnel procedures.



INVESTOR IN PEOPLE



This policy will be reviewed as part of the implementation of the Best Value Review of Behaviour (November 2006)

Sheffield City Council Smoke Free Policy - 2007

1. Introduction

Sheffield City Council has a duty to protect the health of its employees, service users and the public. Breathing other people's tobacco smoke damages individuals' health. The Council is subject to the law, including the provisions of the Health Act 2006 that came into force on 1 July 2007.

The Council also has a key role in promoting better health in Sheffield. Smoking related ill health is a major challenge for our City and the Council needs to be a model for others in terms of its efforts to champion smoke free environments and stopping smoking.

2. Aims of the Policy

- i) To ensure that the health and safety risks created by smoking are managed and that employees and others are not exposed to other people's tobacco smoke
- ii) To champion smoke free environments and stopping smoking in Sheffield
- iii) To help and encourage employees who want to stop smoking achieve their goal
- iv) To comply with all the requirements of the smoke free law

3. Requirements of the Policy

- i) All buildings under the control of the Council will be smoke free. No smoking will be allowed either indoors or within substantially enclosed structures. No smoking rules will be enforced appropriately and will apply to employees, contractors/partners, service users and the public.
- ii) All Council owned, leased or hired vehicles must be smoke free.
- iii) Smoking is not permitted within courtyards, at entranceways or in areas adjacent to buildings where smoke may be unpleasant for people passing or using that area or where the smell of smoke may affect others.



- iv) There are no “smoking breaks”. Where it is consistent with delivery of services then employees will be allowed to have time away from the workplace but this needs to be treated like any other time away, accounted for (e.g. through use of flexitime) and be authorised by the manager.
- v) All Council vehicles are smoke free. Employees driving their own cars for work purposes can smoke in their own vehicles but must not do so if carrying a passenger in the course of their work.
- vi) There is a general presumption that smoking is not allowed on any Council premises i.e. within car parks, depots etc. However, where this ban would cause significant inconvenience, create issues of relationship with neighbouring residents/businesses, increase personal safety risks, etc. management can designate outdoor smoking areas within the site boundary.
- vii) Although there is no overall ban on Council employees smoking while in uniform or wearing Council identity badges, there may be occasions when employees representing the Council may need to avoid smoking to avoid reputation damage or to avoid a conflict with messages the Council is promoting.
- viii) The Council will take all reasonable steps to protect employees from exposure to tobacco smoke whilst delivering services in buildings not under our control. Wherever possible customers and others within their home will be asked not to smoke while SCC employees are in their house. Where it is deemed necessary for an employee to deliver a service in a building where there is significant risk of exposure to tobacco smoke, their line manager will conduct an appropriate risk assessment prior to the service being delivered. Where care to vulnerable people is being provided in homes where people smoke, SCC will seek to adopt joint protocols with key partners who have employees visiting these clients.
- ix) Guidance and support will be provided to employees wishing to stop smoking. This offer of assistance was, initially, time limited (to 31/3/08) but has now been extended and will apply until further notice. Council employees who sign up for NHS Stop Smoking Service will, subject to service delivery requirements, be allowed reasonable paid time off to attend sessions where this is practical

4. Exception

The law does not prohibit smoking by residents in defined “Care Homes”. Where SCC provides this accommodation smoking by residents will be permitted within a designated smoking room. These rooms will be designed and managed so as to avoid risk to others.

5. Setting a standard and a good example

SCC will encourage and where appropriate require contractors and partners to respect the Smoke Free Policy. The Council will also use its influence to encourage other organisations in Sheffield to adopt smoke free policies and to encourage smoking cessation among their employees

6. Union agreement

This Policy was tabled at the Corporate Joint Committee on 19 June 2007 and replaces the No Smoking Policy dated August 2005. This Policy is effective from 1 July 2007.

7. Contact

Further information on this Policy is available from Directorate Human Resources teams and/or from [REDACTED], OD Manager Safety & Employee Wellbeing, OD & Communications.

June 2008

This version replaces that dated June 2007

Frequently Asked Questions

If you have a question that isn't answered here please speak to your manager or to your Directorate Human Resources team. You can also contact [REDACTED], OD Manager Safety & Employee Wellbeing, by email or on [REDACTED].

Why is the Council focussing on smoking over other health problems?

Smoking is still the biggest, reversible cause of ill health and premature death. It is also the largest single cause of health inequalities. There are currently around 1,200 smoking related deaths per year in Sheffield. Reducing smoking prevalence remains a priority for the Sheffield NHS Primary Care Trust, since this will have a significant impact on the health of the people of Sheffield. The Council, partners & other employers in Sheffield are working together with the NHS to help to deliver this priority.

Did the recent consultation process make a difference to the Smoke Free Policy?

Yes, over 200 comments were received. These were from colleagues both strongly for and strongly against a ban. The new Policy seeks to strike a balance between what can be conflicting needs.

Why have staff been allowed time off to attend stop smoking sessions?

This decision has been taken in recognition that stopping smoking is often difficult and the likelihood of successfully quitting is significantly increased by taking medication and getting support and advice from an NHS Stop Smoking Advisor. The Executive Management Team also wishes to show support for employees to take the single best step to improving their health. Managers are reminded that there are other health-related reasons for employees to be given paid time off – more details are available at <http://sheffield.net/employment/absence-leave>

What about smokers who don't want to quit?

It is recognised that there will be some smokers who do not wish to stop smoking, however, at any time approximately 70% of smokers are contemplating giving up. Therefore the message that the Council is trying to promote is that to those who are thinking about giving up, there is advice and support available to help you.

Can an employee take a smoking break?

There are no 'smoking breaks'. Any time away from the workplace to smoke has to be agreed by the Manager and needs to be accounted for eg through the use of flexi-time or other local arrangement. Some Services can allow employees to take authorised time out to take care of personal business e.g. to visit the bank. Time out to smoke will be treated like any other request to leave the workplace for a short period.

Employees must be aware that it is for managers and teams to develop guidelines to manage this. There are some Council services where it is not possible to take this time out. Because of service requirements there may be different arrangements for groups of workers in the same building.

Can an employee smoke on a depot, in a private car park or similar outdoor area?

In general, smoking will not be automatically allowed on any Council premises eg within a car park or depot. If this would cause a local problem eg a personal safety risk then management can make a designated smoking area within an outdoor area but it must be away from any building where people work.

Will the Council provide smoking shelters?

The Council do not have to, and will not, provide these. Any outdoor smoking areas must comply with the legislation and not be substantially enclosed.

Can employees smoke outside buildings or in courtyards etc?

Smoking is not allowed immediately outside buildings close to doors, entranceways and windows. This is because the smoke can drift into the building, which can affect the people in there. It can also be unpleasant for people who enter the building if people are smoking near to doorways.

Many Council buildings are adjacent to public footpaths. We cannot stop members of the public smoking in these areas.

Why does the Council's Smoke Free Policy not ban smoking on its land and outdoor premises?

The Council considered a total ban of smoking on its land and outdoor work areas e.g. depots and parks. This was one area of feedback that has been built into the new Policy. The Council did consider a site ban, like that the NHS/hospitals have but agreed with comments that our mixture of sites – parks, cemeteries, depots etc. made this less practical for us.

Can a member of staff smoke 'whilst at work' when they are outdoors?

In most cases, smoking is allowed outdoors even when wearing a Council name badge and / or uniform. However, if this would conflict with the service being provided or look bad (tarnish the Council's image) then smoking should not be allowed. This is known as reputational damage.

It is very important that employees are aware of these issues and that clear local rules are developed, so that everyone knows what is and is not allowed.

What is reputational risk and why is it important in this Policy?

It is important that the Council protects its good name and that of its employees. It will be for Managers, consulting with employees and Trade Union representatives, to decide whether smoking can be permitted on

Council worksites and/or in uniform in public and how this reputation risk can be managed.

Can employees smoke in their own car when on Council business?

The Smokefree England legislation does not apply to vehicles that are used mainly for private purposes and they do not need to display a no smoking sign. Employees can smoke in their own vehicle if it is safe to do so and there are no passengers.

Can a member of staff have time off to attend stop smoking sessions?

Executive Management Team have agreed that time off work can be given for people to attend sessions to help them stop smoking if it is reasonable to do so or the Service is such that people can be released. This must be to attend sessions run by the NHS Sheffield Stop Smoking Service. NB. You don't have to live in Sheffield to use this service. This arrangement was planned to run until 31 March but has been extended by EMT in acknowledgment of the success to the scheme.

The NHS provides help and support to someone who has decided they want to stop smoking. This support can be either on a one to one basis or in groups. You can get further information about this by telephoning the NHS Sheffield Stop Smoking Service on 0800 068 4490 or by visiting [Smoke Free Sheffield](#). You can also get information from your local medical centre / Doctor's surgery or most pharmacies.

Can services be withdrawn from a service user who insists on smoking in the presence of employees?

There is no easy answer to this query. The operational / service manager will need to conduct an impact assessment to consider all the issues that would be involved if the service were withdrawn, particularly from vulnerable service users.

The wording for a standard letter that can be sent to service users is available on Council Connect. This letter asks for the service users support to provide employees with a smokefree working environment. It is based on guidelines that the NHS is using for their staff that do home visits. The wording can be changed to suit your individual service and printed onto your headed notepaper.

We are working closely with the NHS and Sheffield Homes to have a common approach so that smokers who are visited by staff from different organisations get a consistent message.

Sheffield City Council - Stress Management and Reduction Policy

Introduction

Effective management of stress will have a positive impact on sickness absence, service delivery, performance and, ultimately, the customer experience.

Sheffield City Council strives to be an employer of choice and will ensure its policies and procedures framework reflects best practice. This policy needs to be read in conjunction with guidance and policies relating to the fair and equitable treatment of employees, eg, recruitment, employee development.

Sheffield City Council is committed to protecting the health, safety and welfare of our employees. We recognise that workplace stress is a health and safety issue and acknowledge the importance of identifying and reducing workplace stressors. We believe that effective stress management results from good management practice.

This policy will apply to everyone in the organisation regardless of their role and sets out the roles and responsibilities of both managers and employees to prevent and reduce the risk of stress.

Definition of stress

Stress is a commonly used term and it is worth being clear what we mean by this. Sheffield City Council uses the Health and Safety Executive (HSE) definition of stress which is “the adverse reaction people have to excessive pressure or other types of demand placed on them”. This makes an important distinction between pressure, which can be a positive state if managed correctly, and stress which can be detrimental to health.

Policy

- We will use the [HSE Management Standards](#) approach to identify workplace stress and to take action to control risks identified.
- We will involve managers and employees and consult with Trade Union Safety Representatives on proposed action relating to the prevention and management of workplace stress.
- We will put in place appropriate support arrangements for staff who are affected by work related stress and/or work impacting stress, eg Work Life Balance arrangements, access to specialist support where needed.
- We will provide training/information for managers at all levels in good management practices related to stress.

Responsibilities

Assistant Chief Executive (OD and Communications)

- Take the lead management role in implementing, developing and monitoring the success of this policy.
- Act as a champion for the benefit of dealing with this common health risk effectively and positively.

Managers

- Carry out and record stress risk assessments for their area of responsibility, and implement actions identified through the stress risk assessment process.
- Involve staff and trade union health and safety representatives in the risk assessment process including identification of appropriate action.
- Access training/information as appropriate to assist in the identification, management and reduction of stress.
- Use all appropriate management processes, eg, appraisal, supervision, team briefing, service planning, management/trade union forums such as service block forums, to monitor the potential for stress at team and individual level and take action to manage the risk.
- Deal appropriately with absence or performance where stress may be a primary or underlying factor.
- Offer suitable support to staff who are experiencing
 - work related stress or
 - work impacting stress, eg, bereavement, financial difficulties etc.

Organisational Development Teams

Organisational Development teams are well placed to provide advice, support and assistance to managers and employees across the council. For example,


- advising on management of change
- provision of management information to help in the identification and management of stress issues
- training and development opportunities,
- advising managers on attendance management processes,
- advice, information and support about stress prevention and stress risk assessment
- Provision of Occupational Health advice and arranging for access to external sources of support, counselling and guidance for employees.
- keeping up to date with and sharing best practice in stress management and reduction.
- Reporting progress or request action from Services, Directorates and the Council as whole as appropriate.

Employees

- Take responsibility for your own health and safety at work by taking any necessary actions to attempt to prevent or reduce personal stress levels.
- Raise issues of concern with your line manager and/or safety representative.
- Co-operate with management in the implementation of actions identified to deal with stress issues.

Safety Committee

- The Corporate Health and Safety Committee will receive reports on progress in implementing this policy and will contribute to its on-going development and will report upwards to the Corporate Joint Committee where appropriate.

Signed by 

Assistant Chief Executive – Organisational Development and Communications

Date: 17 June 2008

The attached action plan shows the priorities and action for 2008/9.

Sheffield City Council - Moving Management of Stress Forward February 2008

1 Organisational Context

Sheffield City Council is a 4 star excellent rated council and has recently been awarded this rating for a fourth year. Maintaining this performance puts pressure on the organisation and it is felt that the time is right to review the investment the council has already made in managing stress which was recognised as beacon performance by the Health and Safety Executive in 2003.

The organisation is large and complex with different cultures and ways of working. Stepping forward as one will always present a challenge. Further development of the stress management approach needs to recognise the complex and diverse ways of working in the council but should underline the principle of a cohesive approach and an overriding need for a consistent employee experience.

2 The journey so far

The council first issued guidance to managers in 1999 about the causes of stress and how to manage the risks. As the evidence linking stress with ill health strengthened and the council was entering a period of significant change, it produced more detailed guidance to its managers and employees in 2001. This was fully endorsed by the Chief Executive in its launch at a managers' event under the "Tackling Stress Together" banner. This campaign was supported with publicity and training. An employee booklet was also distributed to every employee. Similar guidance for schools was issued the following year. The guidance encouraged managers to make full use of the range of council processes and arrangements to help minimise stress, eg, flexible working, carers' leave, appraisal systems etc.

The Council worked with HSE in the development of the Management Standards and trialled the early version of the standard and focus group approach. Beacon Status was awarded in 2003, recognising the council's approach to dealing with stress and its links with a successful Work Life Balance programme.

OD teams were briefed about the Management Standards in 2004/5 and focus groups have operated in some service areas. Recent activities has been more piecemeal, although Neighbourhoods and Community Care directorate have introduced an extensive programme of training, risk assessments, and EAP provision, which is now in its third year of successful operation.

3 Current Position

Overall, relevant employee survey results have remained positive, although there are variations across services. Sickness absence data that wasn't previously available is now being used to target action. A major transformation of how council services are delivered is underway which increases the potential for stress. It is clear from a number of sources that guidance and procedures that can help minimise stress are not being applied as consistently as the Council would wish. The HSE audit also found this lack of consistency and requires improvement action. Current arrangements to deal with the potential for stress as a result of major change need to be developed and applied across the Council.

4 Moving Management of Stress Forward – Action Plan

The outcomes of the action plan for the OD service for 2008/9, which are described below, are based on three levels of intervention to further embed and improve the management of stress.

1. *Good management arrangements and approaches deployed to pro- actively identify and reduce the potential for stress in the workplace.*
2. *Best practice arrangements in place to support people absent from work with stress related illnesses.*
3. *Good employee support services easily available.*

As a result of the OD action plan, which follows, the following states will have been achieved by 31 March 2009 -

- Up to date base line guidance will be available to all managers which includes SCC policy on management of stress.
- Managers will have used the guidance to consider and record, in conjunction with their teams, any further action needed to minimise stress risks (stress risk assessment).
- Robust management data will be in place which will allow DMT's to monitor improvements and where possible cause and effect. DMT's will set up a regular arrangement to consider what action needs to be taken as a result of consideration of this data and to identify any areas where stress risks may be high or increasing.
- All OD staff will have received briefings to update their knowledge and understanding of stress so that they are able to identify where there is a potential for stress and work with managers to implement appropriate action.
- Change projects and plans will include and record consideration of the potential for stress and the action that needs to be taken to minimise any risk
- Links with other council activities and processes e.g. Healthy Council and Employee Wellbeing will have been identified and relevant interventions agreed.
- support package for staff will have been reviewed and employees will be aware of the range of support available, both within and outside the council.

5 Priorities areas for early 2008

The priority areas for action in the early part of 2008 are –

- Communication of a message from the Assistant Chief Executive (OD and C)
- To the OD Service – that stress is an important organisation wide issue and every part of the OD service has a role in positively influencing how the organisation manages stress through its interactions with managers.

- To managers at all levels in the organisation – effective management of stress and its effects has positive business benefits.
 - Briefings for all areas of the OD Service (including communication of the message above) to ensure they are able to recognise ways in which they can influence positive stress management.
 - Inclusion of best practice in prevention and management of stress related illness in manager briefings for the revised MACAW (attendance management and capability) system.

The action plan that follows sets out the specific actions that will need to be taken by the OD service to achieve the outcomes described in section 4 above.

6 Action Plan 2008/9 for the OD service

Action Point No	Description	Action	Lead Officer	Needed by
1	Up to date base line guidance will be available to all managers in a variety of formats which includes SCC policy on management of stress and prevention/management of stress related illness.	<p>Identify best practice and develop stress policy to incorporate this.</p> <p>Update guidance to reflect policy and requirements of action plan</p> <p>Provide the guidance in appropriate formats</p>	██████████	<p>June 08</p> <p>June 08</p> <p>June 08</p>
2	Managers will have used the guidance to consider, in conjunction with their teams, any further action needed to minimise stress risks and recorded (stress risk assessment).	<p>Communicate policy, guidance, expectations and business benefits to managers and teams.</p> <p>Support managers in carrying out stress risk assessments (including provision of briefing/training sessions, focus groups etc)</p> <p>Work with DMT's to agree most appropriate means for each directorate to address risk assessment requirements (eg, team improvement workbooks or similar) and to monitor progress.</p>	Business Partners commissioning work where necessary	<p>July 08</p> <p>July08 ongoing</p> <p>Jul 08</p>
3	Robust management data will be in place which will allow DMT's to monitor improvements and where possible cause and effect. DMT's will set up a regular arrangement to consider what action needs to be taken as a result of consideration of this data and to identify any areas where stress risks may be higher or increasing.	Identify available and relevant stress related management information and develop a process/format to make this available to DMT's on a regular and on-going basis.	Heads of OD commissioning work where necessary	June 08 on going
4	All OD staff will have received briefings to update their knowledge and	Develop and arrange delivery of briefing sessions which allow OD to recognise potential stress risks and	Fronted by ██████████ and ██████████	May 08

Action Point No	Description	Action	Lead Officer	Needed by
	understanding of stress so that they are able to identify where there is a potential for stress and work with managers to implement appropriate action.	opportunities to work with managers/employees to minimise stress risks.	developed by ■ ■■■■■■■■ ■■■■■■■■	
5	Change projects and plans will include and record consideration of the potential for stress and the action that needs to be taken to minimise any risk.	Identify best practice in change management processes and ways of ensuring managers who are dealing with change are aware of and can use the guidance.	■■■■■■ ■■■■■■■■	May 08
6	Links with other council activities and processes will have been identified and relevant interventions agreed.	Identify council activities where there are opportunities to improve employee well-being, eg, Healthy Sheffield, Workstyle project etc, and liaise with relevant services and managers to identify relevant actions.	■■■■■■	June 08
7	The support package for staff will have been reviewed and employees will be aware of the range of support available, both within and outside the council.	Review existing support, identify how this could be developed, and find appropriate ways of bringing this to the attention of all employees.	■■■■■■	June 08
8	Robust data management will be in place to monitor improvements and where possible cause and effect.	Identify relevant monitoring data which will monitor improvements, including cause and effect. Provide this data to agreed recipients to an agreed timetable.	■■■■■■■■ ■■■■■■■■/HR First	July 08 July 08

Monitoring

OD Leadership Team will formally monitor progress against the action plan via its regular business meetings.

SHEFFIELD CITY COUNCIL
CONTROL OF LEGIONELLA RISKS POLICY

Updated May 2010

1. Purpose of this Policy

- 1.1 Virtually all water systems contain legionella bacteria. Legionella bacteria which, if not properly controlled may proliferate and there is then a risk that people exposed can become ill. Legionnaires Disease is a serious illness and is potentially fatal.
- 1.2 The prime purpose of the Policy is to state how Sheffield City Council (SCC) will comply with its legal duties to manage this risk, in particular what the responsibilities of key duty holders are.

2. Water Systems

- 2.1 Water systems include all water systems within premises which are owned or controlled by SCC and/or those within buildings where people, for whom SCC has a duty of care, for example employees and service users, may use the premises.
- 2.2 SCC's approach to the management of Legionella risks is based on a risk assessment process recommended by the Health and Safety Executive within the Code of Practice "Legionnaires Disease" (L8). And the attention to and investment in precautions will depend on the risk levels identified.

3. Roles and Responsibilities

- 3.1 Executive Directors (Duty Holders)
- i. Each Executive Director will identify a senior manager(s) who will have the responsibility for the implementation, management, and monitoring of legionella risk control within all premises owned, controlled or used by that Portfolio.
 - ii. The Portfolio Responsible Person(s) will be suitable for the role and responsibilities given to them. This includes having a good



understanding of legionella risks and premises knowledge and be sufficiently resourced to carry out their duties both financially and in terms of the time needed to do the job.

3.2 Portfolio Responsible Person(s)

The Portfolio Responsible Person(s) will ensure:

- i. That all premises owned, controlled or used by their services are identified
- ii. That responsibilities of the Portfolio (e.g. where they directly manage premises) and others (e.g. landlords) are clear and understood
- iii. All leases which apply to properties owned by SCC but let to others and to properties owned by others but let by SCC will be checked to ensure that allocation of responsibilities is clear. Some leases will not be clear on this issue having been prepared, in the past when these issues were not given their current level of attention. In these circumstances practicable efforts will be made to make allocation of responsibilities clear.
- iv. That legionella risk assessments (see 4.0 below) are carried out and reviewed every two years or sooner if the use of the building changes, any significant changes to facilities are made or if the building is implicated in an outbreak of Legionnaires' disease
- v. That where a legionella risk assessment indicates water management/water treatment is needed that systems are in place for this to happen
- vi. That water management/water treatment is carried out by people with the competency to do it. The level of competency will depend upon the precaution needed, evidence of such competency should be provided
- vii. Where water management/treatment is carried out by others (for example by the landlord for a property SCC occupy) confirmation of adequate precautions will be sought to obtain assurance that arrangements are adequate.
- viii. Monitoring of water management/water treatment is carried out to confirm that it is being done and done properly
- ix. Adequate records are kept and are accessible and should be retained for a period of five years
- x. The Portfolio Responsible Persons will work together and with other SCC specialists, insurers etc. to develop and share best practice. The

Strategic Asset Management Advisory Group and its Premises Health and Safety sub group will act as forums for this cooperation.

- 3.3 Organisational Development Manager (Safety & Employee Wellbeing will:
- i. Ensure that Portfolio Responsible Person(s) and other SCC managers receive information about legionella risks, their control and relevant legislation
 - ii. At intervals of not more than one year will require evidence from each Portfolio of compliance with this Policy
 - iii. At intervals of not more than two years will arrange an external, independent audit of SCC's arrangements, see 3.4 ii below

3.4 Corporate Finance Strategic Insurance

This section will:

- i. Act as liaison point with SCC's insurers and risk management partners
- ii. Provide funding via the Insurance fund/Risk Management fund and the external audit 3.3iii

4. Risk Assessments

The assessment should include identification and evaluation of all potential sources of risk and:

- a) the particular means by which exposure to legionella bacteria is to be prevented; or
- b) if prevention is not reasonable practicable, the particular means by which the risk from exposure to legionella bacteria is to be controlled
- c) where the assessment demonstrates that there are no reasonably foreseeable risks or that risks are insignificant and unlikely to increase, no further assessment or measures are necessary. However, should the situation change, the assessment needs to be reviewed and any necessary changes implemented

5. Reference Documents

- (1) Legionnaires' Disease – The control of Legionella Bacteria in water systems, HSE ACOP, L8, 2001

6. Schools

There are responsibilities held for control of legionella risks by each individual Head Teachers and Board of Governors as responsibility for premises safety and the budgets to meet responsibilities is delegated to schools. In the case of Children and Young People's Service the Responsible Person will ensure that schools receive the information that they need and monitor their compliance.

7. Sheffield Homes

This policy will be shared with our partner organisation Sheffield Homes.

OD Manager – Safety & Employee Wellbeing
May 2010

Appendix

The appendix names the individuals who are the current Responsible Persons:

Portfolio Responsible Person(s)

Principal Officer, Assets Team
(Children & Young People's Service)

[REDACTED]

Service Delivery Manager
Premises & Assets Management
(Place)

[REDACTED]

Streetforce (Place)

[REDACTED]

Property Manager
(Communities)

[REDACTED]

Kier Asset Partners Client (Resources)

[REDACTED]

Community Buildings (Communities)

[REDACTED]

OD Manager
(Safety & Employee Wellbeing)
(Resources)

[REDACTED]

2. Highway Tree Replacement Policy

HIGHWAY TREE REPLACEMENT POLICY

1. The species of tree listed in Annex 1 are currently considered suitable for replacement plants on the highway. Alternative species will be considered subject to Authority Approval. The selection should be made after consideration of the following: -
 - Site conditions
 - Sufficient space available on site for both root development and ultimate height and spread of tree when it reaches maturity
 - Species and size of any existing trees on the same street where these are appropriate to the location and in particular maintaining the visual and historical integrity of the tree planting on the street (e.g. avenue planting schemes)
 - Minimising future maintenance requirements and nuisance (eg preference for small leaves, light foliage/canopy, restricting the use of large or fruiting species to appropriate locations)
 - Ability to withstand extreme temperatures and drought
 - Any tree diseases prevalent in the area or probable in future (as far as practicable)
2. Where possible the character of an area will be preserved by using replacement plants of a similar species of tree. If disease is present, resistant cultivars of a similar species should be used before considering alternative species.
3. All replacement trees will be containerised in 45 or 80 litre pots with a girth between 12 and 16 cm. All new plants should be suitably supported until they are sufficiently established and able to stand up un-supported during strong winds.
4. Tree grills shall only be installed in high amenity areas such as the City Centre.
5. The planting location shall be checked for the presence of utility equipment to ensure that there will be no restriction to the future growth and development of the tree and to avoid damage to the equipment both during planting and over the life of the tree.
6. The planting season for replacement trees shall be November to April inclusive. Trees shall only be planted outside this season with the written permission of the Authority.

7. Where all trees on a street are identified for replacement, and the number of trees is six or more, this shall be phased such that no more than one third of the trees are replaced in any phase. The subsequent phase of planting shall take place no less than five years after the previous phase to allow the earlier replacements to become established. Where there are five or less trees on a street and all have been identified for replacement, all of the trees shall be replaced at the same time.
8. There shall be a process of consultation with residents to ensure they are fully aware of the replacement proposals and have sufficient opportunity to make comments or suggestions regarding the proposals.
9. All tree replacement work shall be carried out in accordance with good arboricultural practice and in particular the requirements of BS 3998: Recommendations for Tree Work, and shall take cognisance of the SCC Highway Tree Design Guide.

Annex 1 – Appropriate Tree Species List

This list is not designed to be an exhaustive selection of trees. If a species not shown on this list is to be considered it should be referred to the relevant authority for approval.

Tree name	Prime choice	Size	Spread m	Height m	Growth rate	Root depth	Wind firm?	Leaf colour	Flower colour	Form	Notes
Acer campestre Elsrijk		S-M	6	15 - 20	Slow			L/GR > YL	n/a	Broad conical	Regular habit, Good yellow autumn colour, Tolerates drought
Acer campestre 'Streetwise'		S-M	6	15 - 20	Slow						Upright form of Field Maple, good autumn colour
Acer campestre Louisa Red Shine		S-M	6	15 - 20	Slow			MV/GR		Rounded	Tolerates drought
Acer cappadociicum		M	12	15 - 20	Medium			GR/GR	YL/GR	Broad	Needs space, ok for large corner verges. Not suitable for exposed sites. Avoid root compaction. Spring and autumn foliage colour.
Acer platanoides Columnare		M	4 - 5	15 - 20	Slow			Lt GR > YL > OR		Columnar	Good street tree. Virtually no maintenance. Good autumn colour.
Acer platanoides Emerald Queen		L	16	20+	Fast			mid GR		Rounded	Good general purpose tree, needs space, good in large verges.
Alnus cordata		M	7	15 - 20	Fast	Shallow (see note)	Good	GR (see note)	YL catkin	Broad oval	Tolerates dry soils. Will cause damage to paved areas so restrict use to grass verges and reservations. Leaves retained well into winter.
Amelanchier arborea Robin Hill	√	S-M	6	10 - 15	Medium			GR > OR/RD	WH	Oval	Lime free soils. Low maintenance. Good autumn colour, orange and red
Carpinus betulus L		L	12	20+	Slow			GR > YL		Round	Shade tolerant. Good in poor planting conditions. Yellow leaves in autumn
Carpinus betulus Fastigiata Frans Fontaine	√	M	4	15 - 20	Slow					Pyramidal	
Corylus colurna L		L	8	15 - 20	Fast					Pyramidal	Yellow catkins in spring. Rough textured, corky bark. Yellow autumn colour
Crataegus laevigata Paul's scarlet		S	6	10	Slow		see note		RD		Difficult to establish? Requires regular pruning in early years to allow roots to develop and become wind firm.
Crataegus monogyna Stricta	√	S	2	<10	Slow				WH	Columnar	Good street tree, ideal for restricted space.
Fagus sylvatica		L	16	20+	Slow	Shallow rooting	see note			Rounded	Needs space. Under planting difficult due to heavy shade. Copper autumn foliage. Can drop branches without warning!
Fagus sylvatica Dawyck		M-L	4	15 - 20	Slow	Shallow rooting		> BR/OR		Columnar	Very narrow upright form of beech, good for street planting.
Fagus sylvatica Riversii		L	14	15 - 20	Slow	Shallow rooting		PL > BR		Rounded	Needs space. Under planting difficult due to heavy shade. Copper autumn foliage. Do not over plant?
Fraxinus angustifolia Raywood		S-M	7	10 - 15	Fast		see note	GR > RD			Susceptible to producing weak branch unions that lead to crown failure. Purple/Wine red autumn colour. Bears soil compaction well.
Fraxinus excelsior Altena	√	M	7	15 - 20	Fast		Good		WH	Pyramidal	Ascending branches, good for road side planting
Fraxinus excelsior Westhof's Glorie	√	L	7	20+	Fast		Good	> YL	WH	Oval	Narrow when young spreading to oval.

Tree name	Prime choice	Size	Spread m	Height m	Growth rate	Root depth Deep rooting	Wind firm?	Leaf colour	Flower colour	Form	Notes
Ginkgo biloba		L	?	20+	Fast		Good	> YL		Conical	Narrow when young, broadening with age. Good autumn colour.
Gleditsia triacanthos Skyline			?	15 - 20	?		see note	LgGR	WH	Pyramidal	Can be susceptible to wind damage. Tolerates pollution.
Gleditsia triacanthos Sunburst		M	6	15 - 20	?		see note	YL	WH	Tall, upright	Can be susceptible to wind damage. Tolerates pollution. Can be difficult to establish?
Liquidambar styraciflua Worplesdon		L	8	20+	Slow		see note	> OR/RD		Pyramidal	Needs shelter from wind. Withstands dry soils and pollution. Excellent autumn colour orange to wine red.
Malus hupehensis		S	3	10	?				WH	Upright, columnar	Fragrant flowers in May-June. Fruits dark red.
Malus trilobata		S-M	3	10 - 15	?			> RD	WH	Upright, columnar	Good upright street tree. Maple shaped leaves. Large flowers, occasional fruit.
Malus tschonoskii	√	S-M	4	10 - 15	Fast			GY/GR	WH	Pyramidal	White flowers late spring, Good orange red autumn colouring
Metasequoia glyptostroboides	√	L	?	20+	Fast			GR > PK/RD			Tolerant of air pollution
Plantanus x hispanica		L	6	20+	Fast						Very tolerant of urban pollution. Not good in cold exposed sites
Platanus orientalis digitata		S-M	6?	10 - 15	Fast			> YL			Good yellow autumn colour.
Prunus avium Plena		M	8	10 - 15		Shallow (see note)	Good	> RD/OR	WH (Double)	Pyramidal	Smooth bark dark red. May suffer mechanical root damage?
Prunus 'Ichiyo'		S	8	8	Slow?	?		BronzeGR	PK	Upright	Good street tree. Upright, large pink flowers in Spring.
Prunus padus 'Albertii'	√	S-M	6	10 - 15	?	?	Good		WH	Oval	Strong upright growth. Free flowering
Prunus 'Pandora'		S	7	10	?	?	Good	BronzeRD > YL	PK	Columnar	Free flowering. Excellent Spring and Autumn colour
Prunus sargentii 'Rancho'		S	9	10	Fast	?		> YL/OR	PK	Rounded	Upright form of P. 'Pandora'
Prunus x schmittii	√	S-M	8	10 - 15	Fast	?				Conical	Upright, polished brown bark. Good Autumn colour. Requires virtually no pruning.
Prunus x subhirtella Autumnalis	√	S	8	10	Fast	?		> YL	WH	Broad/ open head	Autumn - Spring flowering. Good Autumn colour
Prunus 'Sunset Boulevard'		S	narrow	5 - 10	Fast	?		Copper > YL	WH	Columnar	
Prunus Tai Haku	√	S-M		10 - 15	?	?		Copper	WH	Rounded	Very white, good for cul de sacs?

Sheffield City Council

Highway Tree Design Guide



Sheffield *where everyone matters*



CUSTOMER SERVICE EXCELLENCE



STANDARD GUIDANCE, DETAILS AND SPECIFICATIONS

for

PLANTING OF TREES IN THE HIGHWAY

Owner	Sheffield City Council
Authors	[REDACTED]
Edits	[REDACTED]
Version:	1.1
Date:	July 2011

Standard Details & Specifications

for

Highway Tree Planting

This document aims to provide a set of guidelines and details for tree planting within the adopted highway and adjacent land where tree planting may affect the highway and for the various situations and conditions that are likely to be encountered.

The document is divided into six sections:

1. Introduction
2. General guidance
3. Specifications
4. Recommended tree species suitable for use in Sheffield
5. Drawings
6. City Centre Specific Details (Sheffield City Council)

1. INTRODUCTION

1.1. THE CASE FOR HIGHWAY TREES

1.1.1. Sheffield is well known for being a green city which has benefitted from tree planting across many parts of the city. However an audit of the urban forest within a large section of the city has shown that the useful remaining contribution of a significant percentage of the large mature trees is limited - due in part to their condition and in part to their size when located in relatively cramped urban situations. The apparent preference for planting *Prunus* and *Sorbus* tree species over the past 50 years has done little to mitigate this situation. It is with the ever present threat of a possible decline in tree numbers from development pressures and the introduction of new pests and diseases that this guide has been produced to enable designers and developers to plant trees appropriate to the location in and adjacent to the highway.

1.1.2. It is quite easy to demonstrate that trees have a powerful impact on people's perceptions of the visual quality of streets and urban spaces. Not only do people feel better in a tree-lined environment (whether or not the individual recognises this) but they are prepared to pay to live in one (Ryan, 1985).

1.1.3. Conversely, damage to paving, problems caused by fallen leaves and branches, damage to services and adjacent buildings and safety issues have all been cited at one time or another as a reason not to plant

trees. However, with correct detailing of the planting area, careful species selection, by engaging and consulting with local residents and emphasising the benefits of highway trees, together with good tree management, most of the problems can be overcome.

- 1.1.4. Trees are important in the Sheffield street scene – improving amenity and biodiversity; it is now imperative, given the situation and threats stated above, to take action to reinvigorate the legacy of tree planting that makes Sheffield a green and attractive city.
- 1.1.5. Large, mature trees are the most valuable and the developer should consider the largest, longest lived species suitable for the given space and their landscape impact. Neither can the survival of newly planted trees be left to chance. Trees are generally highly adaptable to hostile environments and with the correct specifications, choice of species and variety and attention to detail at all stages of the project, there is no reason why survival and subsequent growth should not be comparable to a non-urban situation.

2. GENERAL GUIDANCE

The following section gives general guidance proposing methods for successful tree planting in situations that are commonly encountered in highway areas and provides background information to the specifications.

Where specific guidelines are given then reference should be made to the relevant specification and drawn detail as indicated. The developer is encouraged to discuss tree planting proposals as early as possible with the Sheffield City Council officers including landscape architects, lighting engineers, highways engineers and development control to agree the most suitable solution.

2.1. THE PLANTING PIT

2.1.1. Existing Ground – following appropriate investigations for below ground services, excavate one trial hole to establish the following:

- quality and properties of topsoil and subsoil
- possible drainage problems

2.1.2. Quality of topsoil (as defined in BS 3882:2007) – It is possible to assess the texture of soil by using a simple ‘finger and thumb’ test (texture as defined in BS 3882:2007) but ideally a light, sandy and ‘open’ texture is required. Where the excavated topsoil from the planting pit, and the surrounding soil, is suitable for tree planting, there is little benefit in adding any other medium during the planting operation – with the exception of a slow release fertiliser (such as Bonemeal or Scotts ‘Enmag’), applied at the time of planting and at manufacturer’s recommended rates.

2.1.3. If the soil has a structure that is not conducive to successful tree establishment then it is possible to improve this with conditioners such as peat-free compost made from recycled organic materials incorporated in the planting pit not exceeding 5% of backfill volume (if a greater content is required then this should be added to the surface as a dressing - Roberts, Jackson and Smith, 2006). It is not possible to make long term improvements to, say, pH or nutrient content, to such an extent as to benefit the tree for more than its initial establishment period.

2.1.4. It is also important to recognise that where the in-situ soil and the soil used in the root-ball have different drainage properties then drainage problems within the tree pit can arise; e.g. a well drained sandy soil root-ball being placed into and backfilled with a clay soil is likely to result in the creation of a sump from which water will drain only slowly into the surrounding ground. In these circumstances, a drainage layer at the base of the planting pit should be provided or connection to an established drainage system via pipe work should be considered.

2.1.5. New Ground - In new ground, or in areas of major excavation, it is possible to create conditions that will give new trees the best possible start and minimise future disruption to the surrounding area. This will include:

- adequate soil volumes
- good quality topsoil
- protection to surrounding paving and adjacent services
- drainage provision if necessary.

(In urban areas, where little or no existing soil is within reach of growing roots, the size of the planting pit and the quality of soil are the two most important factors that will have a bearing on the future growth of the trees).

2.1.6. Pit Size - Soil Volumes. The volume of soil required to support a mature tree depends on type and ultimate size of the tree, water availability and ground water storage, particularly during drier seasons. While formulae are available to calculate the volume of soil required, 20 cu m appears to be required to maintain reasonable growth in a paved situation, though when planting into existing areas this volume may be difficult to achieve. It is essential that in order for trees planted in a lower volume of soil to reach their ultimate mature size and maintain good physiological condition and shoot extension it must be possible for their roots to extend beyond the pit into adjacent soil areas, e.g., grass verges, adjacent gardens, interconnected below ground planting pits.

2.1.7. Where possible a minimum soil volume of 5 cu m should be provided. The shape of the soil area need not be regular and can be altered to suite site conditions. Volume cannot be achieved by providing extra depth. The maximum useful depth of topsoil for tree planting is 900mm. It is acceptable for more than one tree to utilise the same soil. For example, a tree pit 900 mm deep x 3 m wide x 8 m long containing 21 cu. m. of soil could support two trees planted at 6 m centres. A similar pit 16 m long containing 43 cu. m. would support three trees, and so on.

2.1.8. Where no below ground opportunity is available for tree planting the use of above ground containers or raised planters should be considered.

2.2. SOIL

Imported topsoil shall be of good quality, with a light texture, and conform to BS 3882:2007 Multipurpose topsoil – for characteristics see Table 1 of the standard.

- 2.2.1. Handling of soil - Soil structure is readily damaged (as a planting medium) by excessive or poor handling practice, especially in wet weather. All handling of soils shall be carried out in appropriate conditions of weather and soil moisture, and with suitable machinery. Conditions to be avoided are during or immediately after heavy precipitation, when soil is waterlogged, when soil is frozen or snow covered or when there is standing water on the soil surface. See BS 3882:2007 for further details.
- 2.2.2. The pits should be backfilled in layers not exceeding 300 mm and lightly 'settled' rather than compacted between each layer. As long as the soil is not wet or heavy this is best achieved by light treading to ensure soil structure is not damaged as a growing medium.
- 2.2.3. Areas of new ground - there are two alternatives for a planting medium - topsoil or, where significant vehicle loads on a surface paving material are expected, a 'structural' soil (often referred to as 'Amsterdam' or 'load bearing tree soil') can be used to ensure that optimum conditions for root growth are maintained, to the approval of the City Council.
- 2.2.4. If the organic content is low or the structure of the soil can be demonstrated to be poor then a peat-free planting compost should be added at the suppliers recommended rates. Alternatively, compost from a reliable source can be added at a rate not exceeding 5%, by volume, ameliorant to topsoil (if a greater content is required then this should be added to the surface as a dressing). In all cases the mixing must be carried out before adding the soil to the excavated tree pit in order to obtain a homogenous mix though it is important to ensure soil structure is not negatively affected as a growing medium during this mixing. It is also important to be aware that the gradual decomposition of organic material in the soil, resulting in a series of small but linked voids, is one cause of settlement in surface paving adjacent to tree pits. For this reason, 'load bearing' tree soils are exceptionally low in organic matter, not exceeding 5% by volume with the subsequent need for regular soil management.

2.3. ROOT BARRIERS

- 2.3.1. Where there is concern that adjacent services, such as gas and water pipes and electricity cables, might be affected by growing root systems then an impenetrable barrier should be installed which will prevent damage by future root growth. Where below ground services preclude tree planting directly in the soil then consideration for raised beds and container planting should be given (see 2.1.8).
- 2.3.2. Where there is danger of damage to services on just one side, or any other reason why roots should be prevented from growing in one direction such as building foundations, a strip barrier is preferable such

as Greenleaf 'Reroot 1000'. The barrier must be installed from surface level to a minimum of 1.0 m below surface level with joints overlapped by 300 mm. In a new build situation, within 8m of building foundations or adjacent to service runs that are deeper than 1m the barrier must extend to a depth of 2m – Greenleaf 'Reroot 2000' or equivalent approved.

- 2.3.3. Where excavation is limited to the area of the planting pit a pre-formed barrier (e.g. Greenleaf 'Root Directors') may be installed in situations where root deflection/direction is desired. Where this is the case installation shall be in accordance with manufacturer's recommendations. The barrier acts in such a way as to discourage the tree roots to spiral around the inside but encourage them to grow in a downward direction. In paving, the backfill surrounding the 'root – director' must be compacted sufficiently to support the paved surface material and discourage roots that emerge from the base of the 'director' from reaching back up to the surface layers.

2.4. DRAINAGE

- 2.4.1. It is a prime requirement of any tree planting situation that planting pits do not hold water and become waterlogged (see 2.1.4). In new construction the minimum requirement is a layer of stone consisting of 200 mm deep of clean aggregate 50mm nominal size in the base of the pit topped with a geotextile blanket, to reduce contamination of the drainage layer by fines. This will allow surplus water to drain freely from the rooting zone.
- 2.4.2. Particular care must be taken when excavating tree pits in clay soils where there is a danger of creating a sump and the subsequent water logging of tree roots. It may be necessary in these situations to provide active drainage to remove excess water away from the tree rooting zone. Drainage from the tree pit may be determined prior to planting to establish where additional drainage methods are required. See BS 4043: 1989, section 3.1 for further details.

2.5. TREE SUPPORT – STAKING AND GUYING

- 2.5.1. The purpose of staking and guying is to anchor and stabilise the root-ball until new roots are established into the surrounding soil; it should not be seen as a method of protecting from vandalism or physical damage. For this reason, support is required until the roots, damaged during the lifting process, have made sufficient new growth. In reasonable growing conditions this should be achieved within two seasons after planting.
- 2.5.2. Above ground supports shall be restricted to areas of low footfall and open spaces, where vandalism to the supports is less likely.

- 2.5.3. Below ground support may be used in paved areas to remove the need for above ground guying. It is achieved using specialist proprietary ground anchor systems, such as Platipus or Greenleaf products. Alternative methods of anchoring the trees such as timber or concrete dead man system in the base of the pits may also be considered. Below ground support must be placed at the time of pit excavation and fitted with all necessary wire cables prior to back filling the pit and planting the tree. Tensioning of the wire is by turnbuckle or ratchet systems.
- 2.5.4. Tree protection guards may be used in areas of potential vandalism or where their use the design would be appropriate. Grills however, are not designed to provide support and this must be achieved using appropriate underground or above ground systems.
- 2.5.5. The developer shall agree the best method of tree anchoring with Local Planning Authority to ensure that the best method is used in the context of the setting.

2.6. TREE SELECTION

- 2.6.1. The following issues must be considered when making a choice of trees for planting adjacent to the public highway:
- Ultimate Mature height –
 - Small – to approximately 10m
 - Medium – to approximately 15m
 - Large – greater than 15m
 - Ultimate crown spread and tree habit -
 - In general, when planting adjacent to highways, particularly where high sided vehicles regularly pass, it is preferable to select a variety with relatively upright growth that will not require pruning or be damaged by the passage of vehicles. Away from the immediate kerb line a broader crown could be considered.
 - Site conditions –
 - As long as the soil is free draining and near-neutral pH then most commonly specified street trees will grow well. Exposure, particularly to strong and cold winds, may be a problem for some trees e.g. *Catalpa bignonioides*. Each site and its conditions should be considered on an individual basis in order to determine the most suitable tree species to be planted.
 - Species specific or varietal features –
 - E.g. a tree that has good spring flower display, autumn berries or autumn colour may be positive aesthetically, but consideration should be given to

such fruit and blossom falling on pavements which may be considered a hazard whilst being acceptable on a grass verge. Therefore, the suitability of these features in each given situation should be carefully thought through.

2.6.2. A brief list of selected tree species for planting next to the highway in Sheffield is included in Section 4; this is by no means exhaustive.

2.6.3. Size of Planting – for street tree planting trees will be selected from one of the following girth sizes:

Heavy Standard	12-14cm @ 1m	Likely to require protection in a public situation, unlikely to be suitable for use in the highway other than grass verges
Extra Heavy Standard	14-16cm @ 1m	More resistant to casual damage and generally the preferred minimum size in a public location
Advanced nursery stock	18-35cm @ 1m	Trees of this size will provide good resistance to casual damage and provide excellent initial impact. However they require specialist handling and require greater aftercare and maintenance during the establishment period
	35cm+ @ 1m	The above comments apply. Trees planted in these sizes and larger would be considered suitable for planting in the city centre or in a development where a strong focal element is required. Advice should be sought from the city council landscape architect.

2.6.4 It is generally accepted that the smaller the tree is at planting the quicker it will establish and start into new growth and the more likely it is to survive, and as such where other considerations regarding tree size are not relevant (e.g. resistance to vandalism, requirement for immediate visual impact) then the smallest acceptable size should be selected.

Improvements in modern nursery practice and recognition of the importance of site evaluation or assessment to identify species compatible with the physical properties offered by the site has changed this situation. *So it is always important to consider the source of the stock, its size and the species used to mitigate any potential problems that could occur.*

In most urban situations a minimum girth of 14cm will suffice for newly planted trees. However if there is a high risk of vandalism or other damage then 18cm girth trees must be planted. But it should be remembered that larger root stock of this size is more likely to fail and trees of this girth should be either containerised stock or root-balled. *(Refer to BS 4043:1989. Recommendations for transplanting root-balled trees).* The use of metal tree cages can reduce the incidence of tree vandalism; where used they shall be installed at the time of

planting and be securely fixed in a manner that does not damage the tree, particularly the roots.

2.6.5 Root type – Which to use; bare-root, root-balled or containerised?

Bare-root stock is usually the cheapest available and, when the correct practises are followed, they will establish at a faster rate. This is the preferred option for trees below 18cm in girth. It is highly recommended that a root dip mycorrhizal inoculant treatment is used when planting smaller bare rooted trees to ensure that the trees are best prepared to survive the first planting season.

Trees above 18cm girth should be either containerised stock or root-balled. The advantage of root-balled and containerised is that they can be planted any time of year as long as a proper irrigation plan is in place.

2.7. **AFTERCARE & MAINTENANCE**

2.7.1. Maintenance of newly planted trees for at least 3 years, after planting is essential to their long term survival and growth. Larger trees in particular, those above 25cm girth, can take several years to finally die, living off stored resources rather than newly acquired ones. A guarantee period of at least 3 years (5 years for trees of 35cm girth and above), must be imposed on all new tree planting.

2.7.2. Incorrect handling at any stage of the works, failure to prepare the planting pit correctly, poor planting techniques and lack of soil moisture can lead to poor establishment rates during the first 12 months following planting. A tree may be in leaf at the end of its first growing season but unless it has made sufficient stores of energy to sustain it well into the next season, it is likely to be on a downward spiral of weak growth and progressive decline in its physiological condition, from which there is no return. A tree showing lack of vitality at the end of its first season should be investigated to determine the cause/s of this and appropriate measures should be taken to address any problems, which can include scheduling the tree for replacement.

2.7.3. Operations to be carried out during the maintenance period must include:

- Watering – at least fortnightly between the period 1st April to 30th September sufficient water shall be applied to the soil to redress any soil moisture deficit. In order to determine this it is necessary to know the field capacity of the soil (which should be determined at pre-planting stage) and current moisture content (which must be measured at each irrigation). The difference (which is the soil water deficit) indicates the amount of water to apply. The water must be

applied slowly to the soil surface (where applicable) at a rate that allows all the irrigating water to infiltrate the soil, rather than saturating the uppermost soil which leads only to the remaining water running off rather than soaking into the soil. If direct irrigation of the soil is not possible (due to surface finish e.g. hard paved areas) then irrigation tubes shall be installed at the time of planting and these shall be utilised. If particularly wet weather occurs, supplementary watering may not be necessary. The use of larger quantities of water at greater time intervals is not an adequate alternative and is not acceptable.

- Pruning – at the time of planting any significantly damaged branches must be pruned in accordance with BS 3998: 2010. Other pruning works would generally be considered to be unnecessary during the first year if good quality stock is selected and it has been transplanted properly.
- Support – check trees for stability at 3 month intervals during the first 12 months following planting and where necessary adjust ties to avoid constriction or expose underground supports to tighten the wires. Above ground supports should ideally be removed 12 months after planting as long as the tree has stabilised in the ground. The checking and adjustment of the supports mentioned above will help achieve this.
- Tree pits – Where trees are planted in grass, a weed free area of soil at least 1m in diameter and extending 150mm beyond the perimeter of the tree pit should be maintained around the trunk. This reduces competition from grass and the likelihood of damage from mowing machines. Where site characteristics and location permits, a granular organic mulch (e.g. woodchip) should be applied and maintained in this area to a depth of between 75-100mm. Mulch should only be applied when the soil is moist and must not be placed directly against the trunk – a 10 cm clear gap should be left.

2.7.4. Long term management and maintenance of the trees should not be neglected after the defects liability period has expired. Trees should be inspected following storms for stability and damage. Inspection for damage by vehicles or by vandalism on a regular basis should be undertaken and any necessary remedial action taken.

3. SPECIFICATIONS

3.1. SPECIFICATION –TREES IN PAVING AREAS, UNDERGROUND SUPPORT

BS 4043 & BS 4428 apply

3.1.1. Pit Size and Construction –

Pits shall be 600 mm wider than the diameter of the root ball with a minimum size of 900 x 900 mm. Pits shall not be circular in outline to avoid girdling roots from developing. Minimum depth to be 750 mm. Where necessary the depth shall be increased to accommodate the depth of the root ball and to obtain the correct planting level. Break up bottom of pit to 150 mm deep and scarify the sides of the pit with a fork. Roots must absolutely not be cut in order to fit the planting pit; where the roots do not fit the pit, the pit shall be enlarged.

Planting – Remove any moisture-retentive material used to prevent the root ball drying out during transport from the nursery but protect the root ball from sun and wind during the planting operation. Remove the wire mesh support and root packing away from the top 200-300mm of the root ball and carefully tease out roots. Do not fully cut away the wire mesh basket. Plant trees upright and, unless otherwise instructed, in centre of pit.

3.1.2. Planting depth –

The natural thickening between the trunk and the root collar shall be at the finished top surface of the planting medium. This is commonly referred to as the nursery “tide mark”. A straight edge placed across the pit at finished surface level and adjacent to the tree will assist in gauging the correct level. If necessary, the depth of the pit must be adjusted to ensure the correct planting level.

3.1.3. Drainage –

Install below-ground irrigation and aeration system only where required in hard surfaced areas, e.g. Greenleaf ‘Root Rain Urban’ ensuring that the top of the filler pipe is flush with finished surface levels. Backfill around the root ball with specified material in 150 mm layers, treading lightly to compact each layer to a level approximately halfway up the side of the root ball. Significant voids must not be present within the backfill soil. The underground support should be installed prior to completing the backfilling of the pit. Immediately after planting the tree shall be watered with approximately 25 ltrs. of water to ensure that the contact of soil between the root ball and backfill material is uniformly moist.

3.1.4. Underground Support –

Underground ground anchorage system such as: ‘Root-ball Guying Kit’, as supplied by Platipus Anchors Limited, Greenleaf urban tree and landscape products or equivalent approved, or alternatively, Deadman

System comprising 2No. dead man anchors of timber or concrete located at opposite sides of the root ball, rectangular in section and of sufficient mass to prevent movement when buried below the soil. The dead man anchors and root ball fixing wires must be fixed prior to backfilling the pit or placing the tree. Multi-strand wire 5mm diam. shall be stapled around each anchor and shall be tensioned by turnbuckle or ratchet devices or “gripple” system after the tree is in its final position.

3.2. SPECIFICATION – TREES IN PAVING – FOR INSTALLATION OF ROOT DIRECTOR / ROOT BARRIER

In addition to specifications given above...

3.2.1. Pit Size and Construction –

Pits: if root directors / root barriers are to be installed the minimum size of the tree pit will be 1200 x 1200 x 1100mm deep. Excavate a planting hole 600 mm wider than the diameter of the root ball. The depth of the excavated pit will be sufficient to accommodate the root ball and to obtain the correct planting depth. Install a layer of clean stone or granular material such as reclaimed broken bricks to a settled depth of 200mm. Cover with a geotextile sheet to filter fine particles.

3.2.2. Installation of Root Director / Root Barrier -

Supply and install a Root Director (product code RD1050) as supplied by Greenleaf, Haywood Way, Hastings, East Sussex. TN35 4PL or equivalent approved. Installation shall be in accordance with the supplier’s instructions.

4. RECOMMENDED TREE SPECIES

4.1. Suitable tree species for planting highway locations

4.1.1 The following list of tree species are considered suitable for planting in South Yorkshire. Each site and its conditions should be considered on an individual basis in order to determine the most suitable tree species to be planted. Particular note should be taken when selecting tree species to be planted within existing planting schemes in order to maintain visual and historical integrity (e.g. avenue planting schemes).

4.1.2 However, the list is not exhaustive and the developer may wish to consider alternative species or new varieties in their scheme. The developer should discuss the suitability and agree the use with the authority of the alternative being offered at an early stage in design before being accepted.

This list is not designed to be an exhaustive selection of trees. If a species not shown on this list is to be considered it should be referred to the relevant authority for approval.

Tree name	Prime choice	Size	Spread m	Height m	Grow h rate	Root depth	Wind firm?	Leaf colour	Flower colour	Form	Notes
Acer campestre Elsrijk		S-M	6	15 - 20	Slow			L/GR > YL	n/a	Broad conical	Regular habit, Good yellow autumn colour, Tolerates drought
Acer campestre 'Streetwise'		S-M	6	15 - 20	Slow						Upright form of Field Maple, good autumn colour
Acer campestre Louisa Red Shine		S-M	6	15 - 20	Slow			MV/GR		Rounded	Tolerates drought
Acer cappadocicum		M	12	15 - 20	Medium			GR/GR	YL/GR	Broad	Needs space, ok for large corner verges. Not suitable for exposed sites. Avoid root compaction. Spring and autumn foliage colour.
Acer platanoides Columnare		M	4 - 5	15 - 20	Slow			Lt GR > YL > OR		Columnar	Good street tree. Virtually no maintenance. Good autumn colour.
Acer platanoides Emerald Queen		L	16	20+	Fast			mid GR		Rounded	Good general purpose tree, needs space, good in large verges.
Alnus cordata		M	7	15 - 20	Fast	Shallow (see note)	Good	GR (see note)	YL catkin	Broad oval	Tolerates dry soils. Will cause damage to paved areas so restrict use to grass verges and reservations. Leaves retained well into winter.
Amelanchier arborea Robin Hill	√	S-M	6	10 - 15	Medium			GR > OR/RD	WH	Oval	Lime free soils. Low maintenance. Good autumn colour, orange and red
Carpinus betulus L		L	12	20+	Slow			GR > YL		Round	Shade tolerant. Good in poor planting conditions. Yellow leaves in autumn
Carpinus betulus Fastigiata Frans Fontaine	√	M	4	15 - 20	Slow					Pyramidal	
Corylus columna L		L	8	15 - 20	Fast					Pyramidal	Yellow catkins in spring. Rough textured, corky bark. Yellow autumn colour
Crataegus laevigata Paul's scarlet		S	6	10	Slow		see note		RD		Difficult to establish? Requires regular pruning in early years to allow roots to develop and become wind firm.
Crataegus monogyna Stricta	√	S	2	<10	Slow				WH	Columnar	Good street tree, ideal for restricted space.
Fagus sylvatica		L	16	20+	Slow	Shallow rooting	see note			Rounded	Needs space. Under planting difficult due to heavy shade. Copper autumn foliage. Can drop branches without warning!
Fagus sylvatica Dawyck		M - L	4	15 - 20	Slow	Shallow rooting		> BR/OR		Columnar	Very narrow upright form of beech, good for street planting.
Fagus sylvatica Riversii		L	14	15 - 20	Slow	Shallow rooting		PL > BR		Rounded	Needs space. Under planting difficult due to heavy shade. Copper autumn foliage. Do not over plant?
Fraxinus angustifolia Raywood		S-M	7	10 - 15	Fast		see note	GR > RD			Susceptible to producing weak branch unions that lead to crown failure. Purple/Wine red autumn colour. Bears soil compaction well.
Fraxinus excelsior Altena	√	M	7	15 - 20	Fast		Good		WH	Pyramidal	Ascending branches, good for road side planting
Fraxinus excelsior Westhof's Glorie	√	L	7	20+	Fast		Good	> YL	WH	Oval	Narrow when young spreading to oval.

Tree name	Prime choice	Size	Spread m	Height m	Grow h rate	Root depth	Wind firm?	Leaf colour	Flower colour	Form	Notes
Gingko biloba		L	?	20+	Fast	Deep rooting	Good	> YL		Conical	Narrow when young, broadening with age. Good autumn colour.
Gleditsia triacanthos Skyline			?	15 - 20	?		see note	LgGR	WH	Pyramidal	Can be susceptible to wind damage. Tolerates pollution.
Gleditsia triacanthos Sunburst		M	6	15 - 20	?		see note	YL	WH	Tall, upright	Can be susceptible to wind damage. Tolerates pollution. Can be difficult to establish?
Liquidambar styraciflua Worplesdon		L	8	20+	Slow		see note	> OR/RD		Pyramidal	Needs shelter from wind. Withstands dry soils and pollution. Excellent autumn colour orange to wine red.
Malus hupehensis		S	3	10	?				WH	Upright, columnar	Fragrant flowers in May-June. Fruits dark red.
Malus trilobata		S-M	3	10 - 15	?			> RD	WH	Upright, columnar	Good upright street tree. Maple shaped leaves. Large flowers, occasional fruit.
Malus tschonoskii	√	S-M	4	10 - 15	Fast			GY/GR	WH	Pyramidal	White flowers late spring, Good orange red autumn colouring
Metasequoia glyptostroboides	√	L	?	20+	Fast			GR > PK/RD			Tolerant of air pollution
Plantanus x hispanica		L	6	20+	Fast						Very tolerant of urban pollution. Not good in cold exposed sites
Platanus orientalis digitata		S-M	6?	10 - 15	Fast			> YL			Good yellow autumn colour.
Prunus avium Plena		M	8	10 - 15		Shallow (see note)	Good	> RD/OR	WH (Double)	Pyramidal	Smooth bark dark red. May suffer mechanical root damage?
Prunus 'Ichiyo'		S	8	8	Slow?	?		BronzeGR	PK	Upright	Good street tree. Upright, large pink flowers in Spring.
Prunus padus 'Albertii'	√	S-M	6	10 - 15	?	?	Good		WH	Oval	Strong upright growth. Free flowering
Prunus 'Pandora'		S	7	10	?	?	Good	BronzeRD > YL	PK	Columnar	Free flowering. Excellent Spring and Autumn colour
Prunus sargentii 'Rancho'		S	9	10	Fast	?		> YL/OR	PK	Rounded	Upright form of P.'Pandoro'
Prunus x schmittii	√	S-M	8	10 - 15	Fast	?				Conical	Upright, polished brown bark. Good Autumn colour. Requires virtually no pruning.
Prunus x subhirtella Autumnalis	√	S	8	10	Fast	?		> YL	WH	Broad/ open head	Autumn - Spring flowering. Good Autumn colour
Prunus 'Sunset Boulevard'		S	narrow	5 - 10	Fast	?		Copper > YL	WH	Columnar	
Prunus Tai Haku	√	S-M		10 - 15	?	?		Copper	WH	Rounded	Very white, good for cul de sacs?

Tree name	Prime choice	Size	Spread m	Height m	Grow h rate	Root depth	Wind firm?	Leaf colour	Flower colour	Form	Notes
Pyrus calleryana Chanticleer	√	S-M	6	10 - 15	?			> OR/RD	WH	Columnar	Fine street tree, tolerant of pollution
Pyrus calleryana Redspire	√	S-M	6	10 - 15	?			> OR/RD	WH	Columnar	Similar to P.c Chanticleer, but better autumn colour
Quercus palustris		M - L	6 - 7	10 - 15	Medium			> RD		Pyramidal	Good for avenues where space allows. Good scarlet autumn colour.
Quercus robur		L	8	20+	Medium	Expansive rooting	Good	Lt GR > YL		Oval	Needs time to establish. Very long lived, needs space to develop. Can be variable in form and growth?
Quercus robur 'fastigiata'		S-M	3	10 - 15	Medium	Expansive rooting	Good	Lt GR > YL		Columnar	Needs time to establish. Very long lived, needs space to develop. Good avenue tree.
Sorbus aria Majes ica		M	8	10 - 15	Fast		Good (see note)	GY/GR	WH	Rounded	Large leaves very silver in spring. Bright red berries in autumn. Wind firm once established, requires early support in windy locations?
Sorbus x arnoldiana Schouten	√	S	3 - 4	10	Fast			GR		Oval	A reliable low maintenance tree. Golden yellow fruits.
Sorbus aucuparia		S-M	5	10 - 15	Variable			Dk GR > OR/RD/YL		Variable	Best grown as multi stem form. S.a forms do not like reflected heat and light associated with paved areas. Red fruits in autumn
Sorbus aucuparia Cardinal Royal	√	S-M	5	10 - 15	Fast			Dk GR > OR/RD/YL	WH	Columnar	Good in restricted areas. Red fruits in autumn.
Sorbus aucuparia Sheerwater seedling	√	S-M	5	10 - 15	Fast			GR/GR > OR/RD/YL		Narrow oval	Good street tree. Orange red fruits in autumn
Sorbus commixta Embley		S	10	3 - 4	Fast			> RD		Columnar	Compact form, excellent autumn colour, yellow berried.
Sorbus intermedia Brouwers	√	S-M	8	10 - 15	Fast		Good	see note > YL	WH	Upright oval	Good street tree. Dark green leaves, silver grey undersides. Orange red fruits. Good in windy locations.
Sorbus x thuringiaca Fastigiata		S	3 - 4	10			No (see note)			Columnar	Good street tree. Not ideal in windy sites? Good red autumn fruit.
Tilia cordata		L	8	20+	Variable			Dk GR/ GY underside		Rounded	
Tilia cordata Greenspire	√	S-M	5 - 6	10 - 15	Fast			Dk GR/ GY underside		Narrow, pyramidal	Better choice than T. cordata. More free of aphids than other limes.
Tilia x euchlora		L	6	15 - 20	Fast			Dk GR/ GY underside	YL/WH	Pyramidal	Better choice than T. cordata as no "dripping". Good for pollarding.
Tilia Mongolica		S	6 - 8	10	Fast					Rounded	
Tilia tomentosa Brabant		L	8	20+	Fast		Good			Pyramidal	Considered to be aphid free? Leaves toxic to bees. Good for urban environments. Effective in windy locations as it shimmers. Uniform shape.
Ulmus Dodoens		L	8	20+	Fast		Good	Lt GR/ GY underside > YL		Pyramidal	Needs space. Good choice in windy exposed locations.

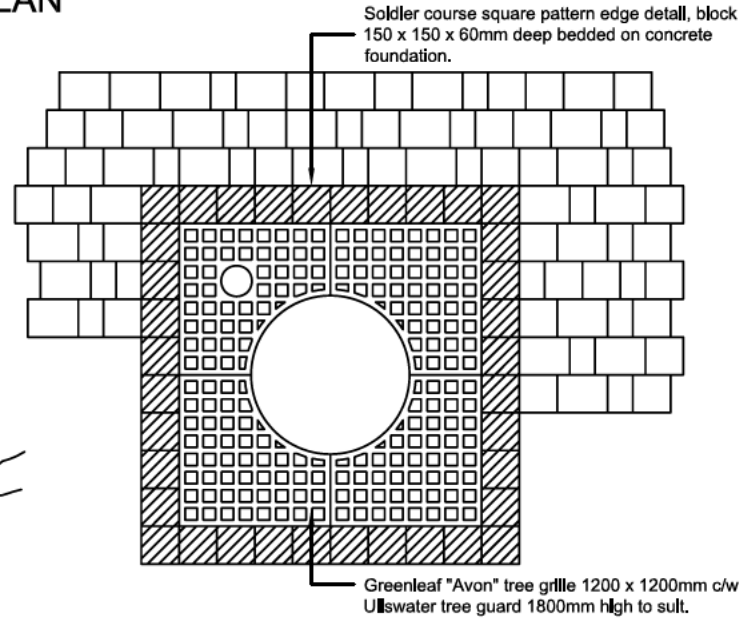
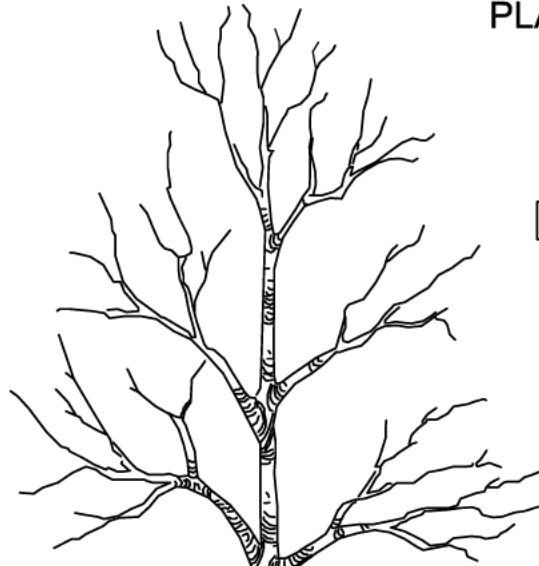
The following trees are not suitable for planting in a highway situation for the reasons indicated. However this list is advisory, a tree which is not suitable in a vehicular area e.g. Horse Chestnuts where 'Conkers' attract children, may be considered for a grass verge set well back from the highway and adjacent property.

Acer pseudoplatanus –	Sycamore a large tree that can attract aphids in summer causing a sticky 'honey dew' to drop onto paths, vehicles, seat etc. However it is also recognised that the same aphid population is valuable to some species of urban birds as a food source during the nesting season.
Acer saccharinum	An attractive tree but with a weak branch structure that can be damaged and drop in exposed locations
Aesculus species	All the Aesculus (Horse Chestnut), species with the exception of the variety 'Baumannii', produce 'Conkers' which attract children in season with the associated danger from traffic. All varieties tend to be large and wide-spreading with a very dense canopy. For these reasons they cannot be recommended adjacent to highways. However, they make
Betula pubescens	A form of Silver Birch propagated from seed and therefore of inconsistent form. They also tend to be very shallow rooting which will cause problems in paved areas, and may suffer heavy aphid infestation with the resulting problems of 'honeydew'
Eucalyptus species	Liable to become very top heavy and fall in high winds unless correctly managed at an early age
Malus varieties	Although suitable Malus are listed above the following varieties include some of those likely to produce a large amounts of fruit which can cause problems on pavements or roadways, particularly in wet weather - Malus floribunda; M. 'Golden Hornet'; M. 'John Downie'; M. 'Rudolf'
Populus and Salix species -	Poplars and Willows have extensive and vigorous roots that actively seek water and damp ground. They should never be planted in paved areas adjacent to buildings or where services (particularly water or drainage) are present
Robinia species	Fast growing trees that are not tolerant of exposed conditions and may drop heavy branches.
Tilia europaea & T. platyphyllos	Limes that suffer from heavy infestations of aphids resulting in 'showers' of sticky honey dew
Prunus species and varieties	Cherries make superb flowering street trees but often suffer from a canker disease. Additionally, Prunus have a vigorous, far searching and shallow root system that will cause damage to paving. It is recommended that a form of root director be used at the time of planting in locations where damage to surface paving may cause a problem.

DRAWINGS

ELEVATION

PLAN



Vertical steel tree guard bolted directly to grille support frame. Product code: Greenleaf Ullswater

Tree grille with Precinct irrigation aperture. Product code: Greenleaf Avon 1200mm x 1200mm.

Tree grille support fixed directly to grille frame set in concrete foundation.

Root director RD1050, modular root management system.

Grippler (max) tensloner 2no. per tree and 125x25mm timber frame to protect rootball.

Root Rain Precinct installed around the guyed rootball c/w grille locating lugs. Ensure inlet 'twist locks' into tree grille.

Well draining loamy topsoil to BS3882.

'Dead Man' anchors, kerb stones OR Strapped anchor system c/w ground anchors.

NOTES / REVISIONS:

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- 1) Drawing is only indicative of tree pit, to be installed in accordance with manufacturers specification.
- 2) Greenleaf product specification: RD1050 Root Director, Root Rain Precinct Grille Version, 1200mm Square Arborsystem Grille and Support Frame (medium duty), 4,0mm Guying Wire And Maxl Grippers x 2, Vertical Steel Tree Guard, model: Ullswater 1800mm High.
- 3) Paving as specified by designer.
- 4) Edging as specified by designer.
- 5) Tree pit preparation: Size 75 mm deeper than root system and wide enough to accommodate roots when fully spread. Pit bottoms: With slightly raised centre. Break up to a depth of 150 mm.

FOR CONSTRUCTION

SHEFFIELD CITY COUNCIL
 DIRECTORATE OF DEVELOPMENT
 ENVIRONMENT & LEISURE
 EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES
 DIRECTOR
 LES STURCH MRTPI

SCHEME:
 TREE DESIGN GUIDANCE
 TREE PLANTING DETAILS

TITLE:
 STEEL TREE GUARD
 & ROOT BARRIER

COMMITTEE:
 DEL

SCALE:
 1:30 AT A4

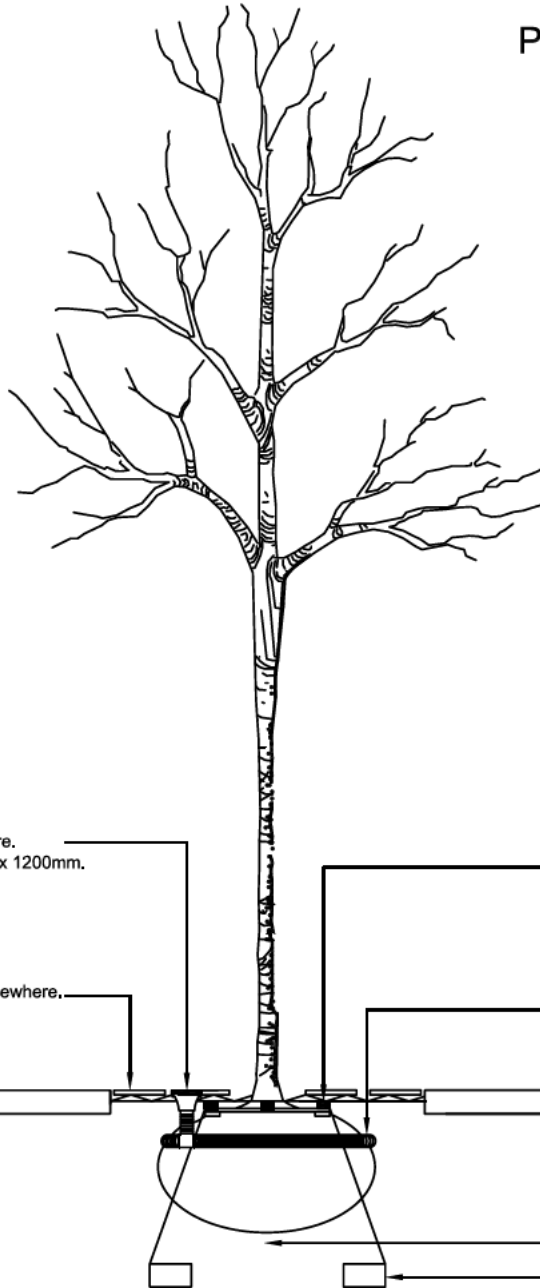
DR	TR	CAD	DATE:	MISC:
			JULY 2009	

DRAWING NO:
 A4 HWI

CAD FILE NAME: HWLTREEPLANTING

ELEVATION

PLAN



Tree grille with Preclnt Irrigation aperture.
Product code: Greenleaf Avon 1200mm x 1200mm.

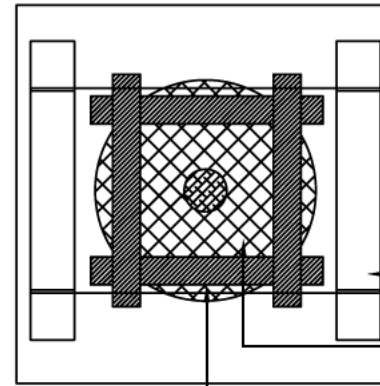
Tree pit surface as specified elsewhere.

Gripplle (maxi) tensioner 2no. per tree and
125x25mm timber frame to protect rootball.

Root Rain Preclnt Installed around the guyed
rootball c/w grille locating lugs. Ensure Inlet
'twlst locks' Into tree grille.

Well draining loamy topsoil
to BS3882.

'Dead Man' anchors, kerb stones OR
Strapped anchor system c/w ground anchors.



Timber Frame over Rootball.

'Dead Man' anchors,
kerb stones OR
Strapped anchor system,
Rootball.

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proceedings, 10018816, 2005

- 1) 4.0mm Guying Wire And Maxi Gripplles x 2.
- 2) Paving as specified for each Individual site.
- 3) Tree pit preparation: Size 75 mm deeper than root system
and wide enough to accommodate roots when fully spread.
Pit bottoms: With slightly raised centre. Break up to a depth
of 150 mm.

FOR CONSTRUCTION

SHEFFIELD CITY COUNCIL

DIRECTORATE OF DEVELOPMENT
ENVIRONMENT & LEISURE

EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES

DIRECTOR
LES STURCH MRTPI

SCHEME:

TREE DESIGN GUIDANCE
TREE PLANTING DETAILS

TITLE:

DEAD MAN ANCHORS

COMMITTEE:

DEL

SCALE:

1:30 AT A4

DR	TR	CD	DATE	MICRO
			JULY 2009	

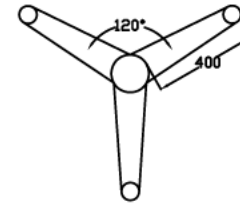
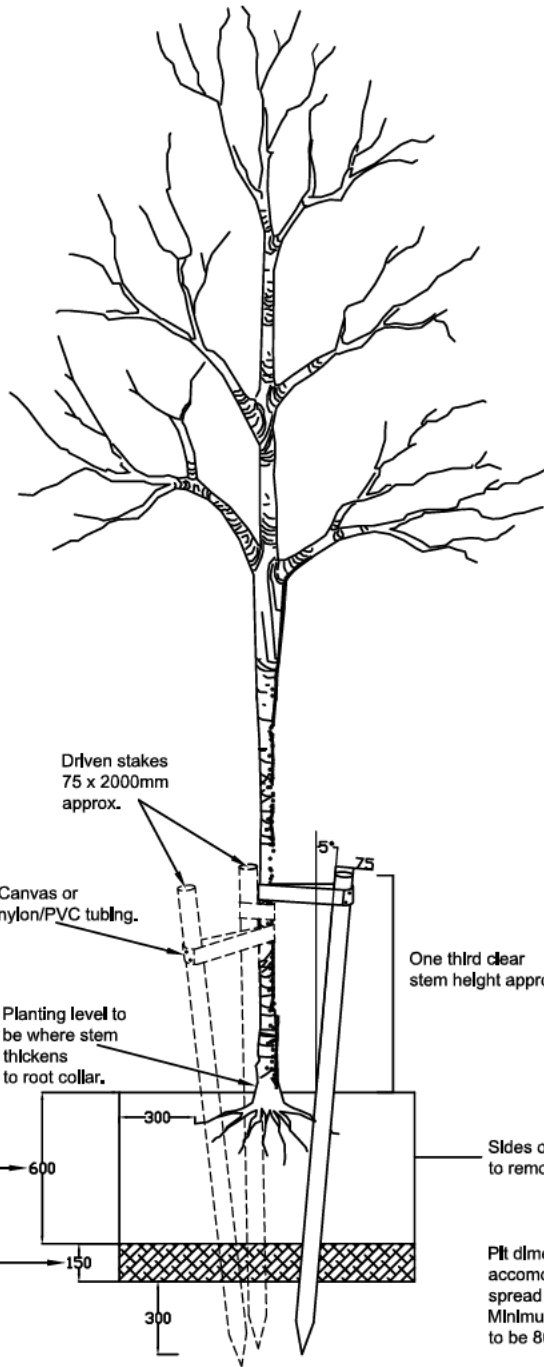
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A4 HW2

CAD FILE NAME: HWL/TREEPLANTING

ELEVATION

PLAN



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- 1) To be used for bare root trees with a stem girth of 18cm or above
 - 2) This detail can be used in grass or shrub areas
 - 3) Tree pit area should be clear of services. Where services are present near the surface a appropriate root protection barrier should be installed.
 - 4) Tree pit preparation: Size 75 mm deeper than root system and wide enough to accommodate roots when fully spread.
- Pit bottoms: With slightly raised centre. Break up to a depth of 150 mm.

FOR CONSTRUCTION

SHEFFIELD CITY COUNCIL
 DIRECTORATE OF DEVELOPMENT
 ENVIRONMENT & LEISURE
 EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES
 DIRECTOR
 LES STURCH MRTPI

SCHEME:
**TREE DESIGN GUIDANCE
 TREE PLANTING DETAILS**

TITLE:
THREE STAKE SYSTEM

COMMITTEE:
 DEL

SCALE:
1:30 AT A4

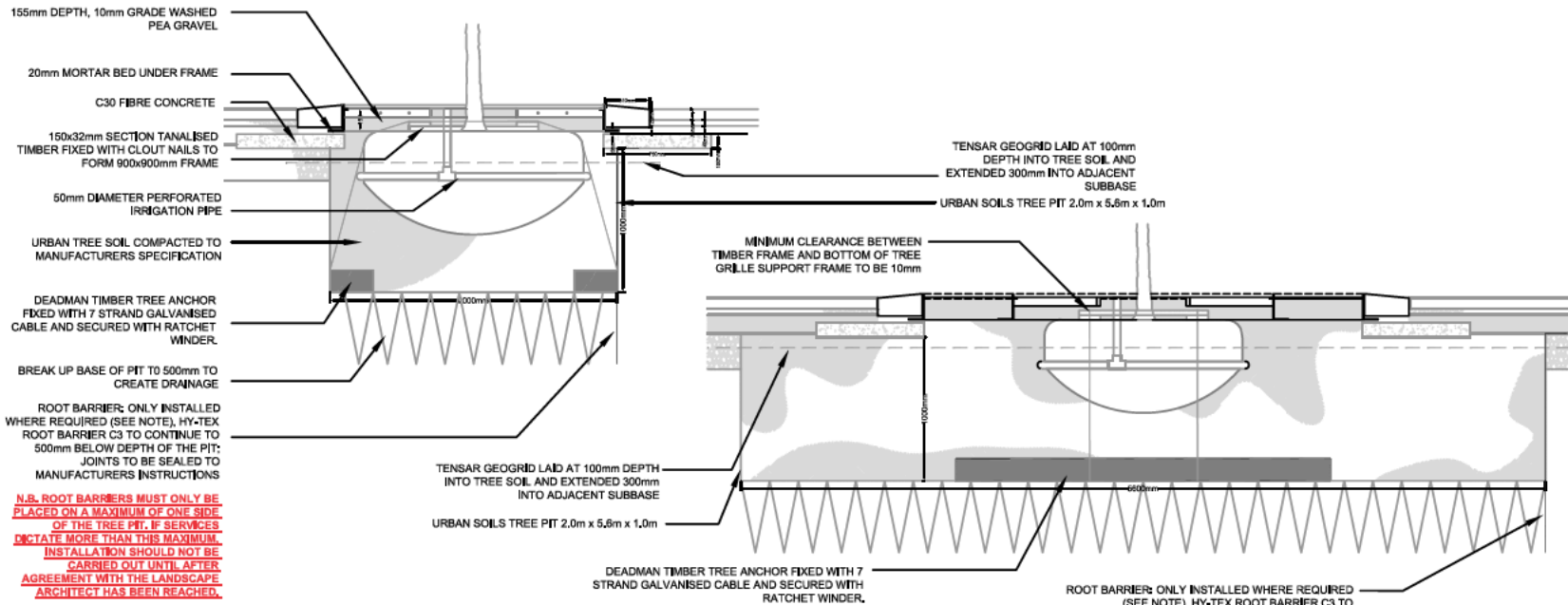
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			JULY 2009	

DRAWING NO:
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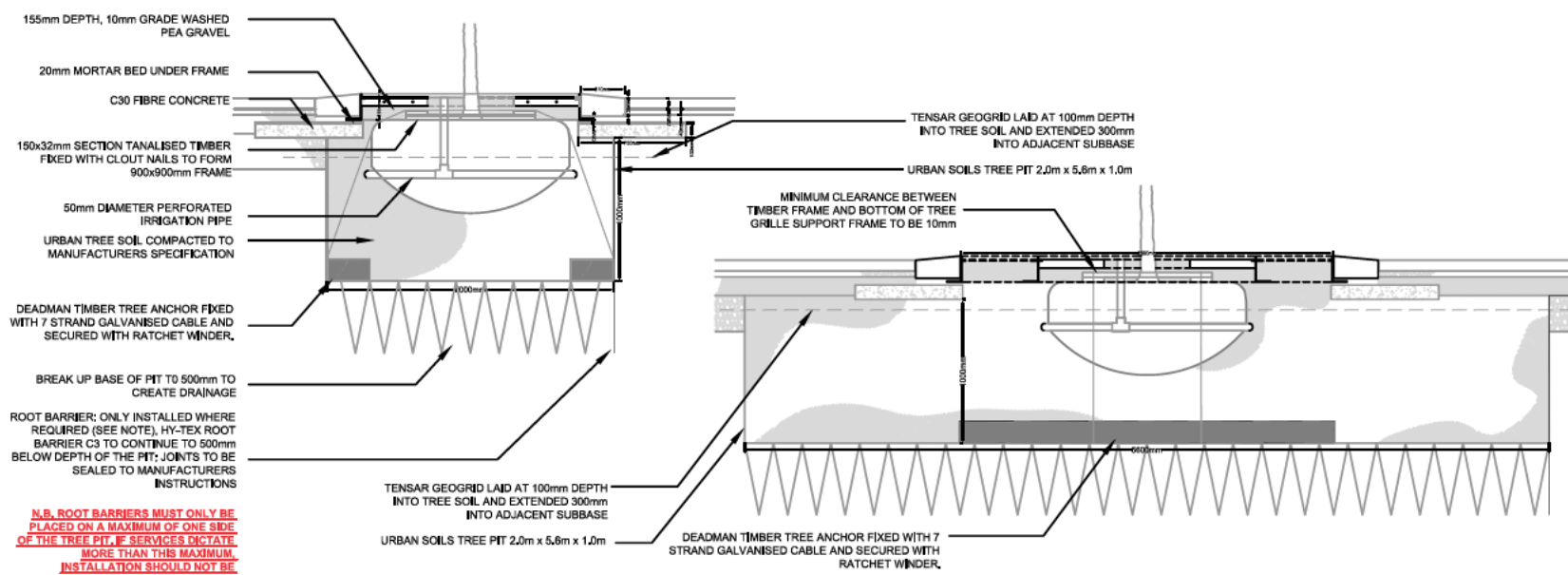
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5. CITY CENTRE SPECIFIC DETAILS (SHEFFIELD CITY COUNCIL)

1820mm TREE TREE PITS



1520mm TREE TREE PITS



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NOTES:

- URBAN TREE SOILS PITS FOR SEMI-MATURE TREES IN GRILLES IN FOOTWAYS
- Pit excavation, surround and frames to be constructed by another Works Contractor.
- This works contract to include for the following:
 - Break up base of tree pit to 500mm depth to relieve compaction and improve drainage.
 - Insert Hytex root barrier C3 to continue to 500mm below base of the pit with joints sealed to manufacturers instructions to be placed only where absolutely necessary to protect services and on a maximum of one side of the tree pit.
 - Overall pit dimensions 5.6m long, by 2.0m wide, by 1.075m deep.
 - Supply 2 hr timber deadmen 200 x 300 x 2000mm with 4hr 7 strand galvanised cables and ratchet winches brought to the surface.
 - Urban Soils mix to be formed in layers to manufacturers specification to fill volume 8000 x 2000 x 1000 deep as detailed.
 - Urban Tree Soils to be supplied by Urban Soils Ltd to their detailed specification.

URBAN TREE SOILS, FULL DETAILS OF COMPACTION SPECIFICATION AVAILABLE FROM:
Urban Soils Ltd
High Leigh Estate Office
Knutsford
Cheshire
WA16 0S
Tel: 01825 757600
Fax: 01825 756560
email: urbansoils@globalnet.co.uk

HY-TEX - PERMANENT ROOT BARRIER C3 SYSTEM
Hy-TEX (UK) Limited
PO Box 97
Aldington,
ASHFORD,
Kent
TN25 7EA
Tel: 01233 720697
Fax: 01233 720598
email: sales@hytex.co.uk

SHEFFIELD CITY COUNCIL

DIRECTORATE OF DEVELOPMENT
ENVIRONMENT & LEISURE

EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES

DIRECTOR
LES STURCH MRTPI

SCHEME:

TREE DESIGN GUIDE
TREE PLANTING DETAILS

TITLE:

STREET TREE PIT

COMMITTEE:

DEL

SCALE:

1:50 AT A4

DR:

TR:

CD:

DATE:

MICRO:

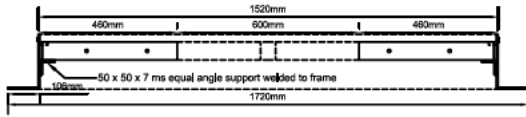
JULY 2009

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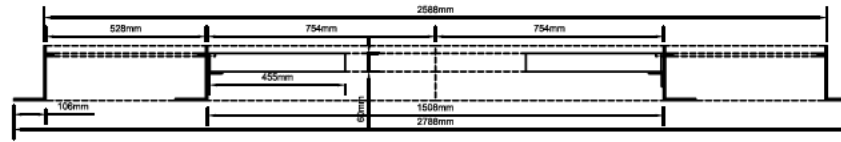
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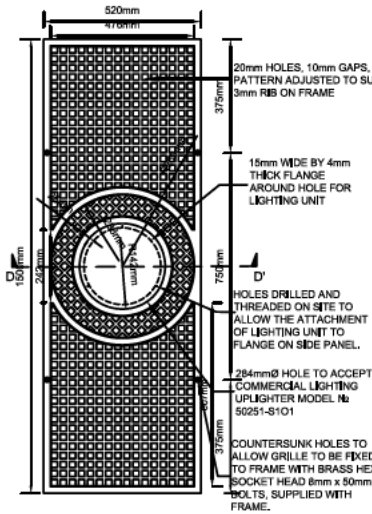
FRAME ELEVATION A-A' - SCALE 1:25



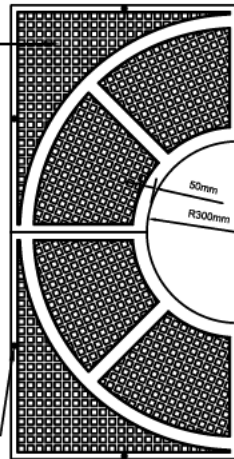
FRAME SECTION B-B' - SCALE 1:25



SINGLE SIDE PANEL WITH HOLE FOR UPLIGHTER, PLAN - SCALE 1:25

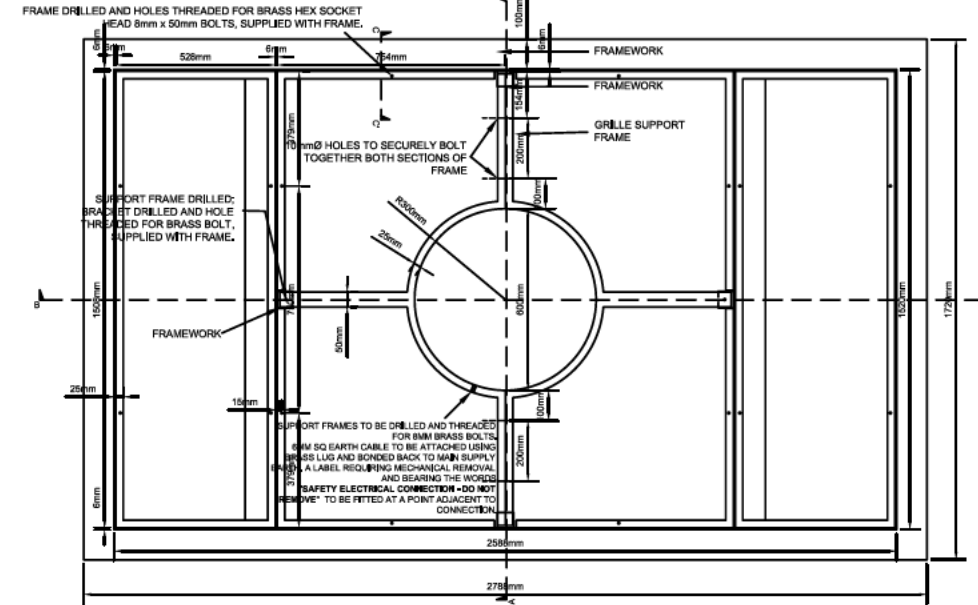


TREE GRILLE, PLAN - SCALE 1:25 (two parts shown, 4 needed for tree grille)

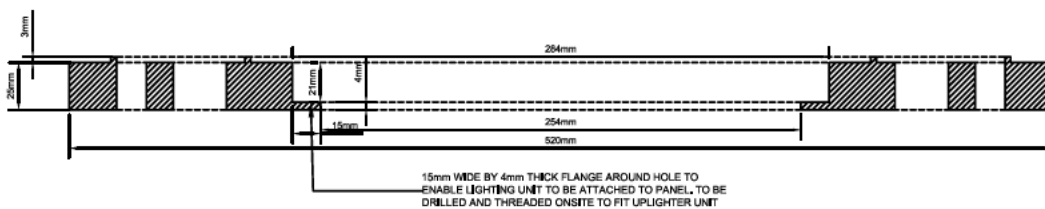


COUNTERSUNK HOLES TO ALLOW GRILLE TO BE FIXED TO FRAME WITH BRASS HEX SOCKET HEAD 8mm x 50mm BOLTS, SUPPLIED WITH FRAME.

MILD STEEL FRAME PLAN - SCALE 1:25

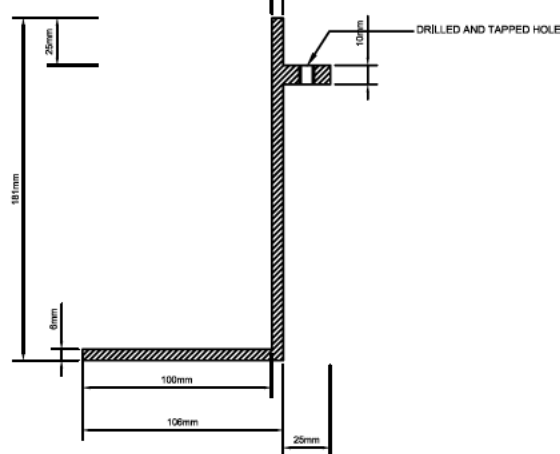


SIDE PANEL SECTION D-D' - SCALE 1:4



15mm WIDE BY 4mm THICK FLANGE AROUND HOLE TO ENABLE LIGHTING UNIT TO BE ATTACHED TO PANEL, TO BE DRILLED AND THREADED ONSITE TO FIT UPLIGHTER UNIT

FRAME SECTION C-C' - SCALE 1:4



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NOTES:

- EACH COMPLETED TREE GRILLE TO COMPRISE:
 - 4 NUMBER 1500mm TREE GRILLE PANELS TO BE MANUFACTURED FROM DUCTILE IRON(SG), EACH 25mm THICK, PAINTED WITH 2 COATS OF MIO (micaceous iron oxide) TO MATCH RAL 7021 (BLACK GREY), TO TAKE LOADING TO COMPLY WITH BS(EN)124 LOADING CLASS GROUP 3.
 - 2 NUMBER, SIDE PANELS TO BE MANUFACTURED FROM DUCTILE IRON(SG), EACH 25mm THICK, PAINTED WITH 2 COATS OF MIO (micaceous iron oxide) TO MATCH RAL 7021 (BLACK GREY), TO TAKE LOADING TO COMPLY WITH BS(EN)124 LOADING CLASS GROUP 3.
 - 1 NUMBER, HOT DIPPED GALVANISED MS FRAME, TO COMPRISE A FRAMEWORK WITH BRACKETS FOR A TWO PART REMOVABLE GRILLE SUPPORT FRAME.
- SIDE PANELS DESIGNED TO ACCEPT COMMERCIAL LIGHTING UPLIGHTER MODEL No 50251-S101
- FRAME TO BE INSTALLED PRIOR TO INSTALLATION OF PAVING, GRILLES AND GRILLE SUPPORT FRAME TO BE REMOVED AND REPLACED FOR PLANTING OF TREE.

SHEFFIELD CITY COUNCIL
 DIRECTORATE OF DEVELOPMENT
 ENVIRONMENT & LEISURE
 EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES
 DIRECTOR
 LES STURCH MRTPI

SCHEME:
**TREE DESIGN GUIDE
 PLANTING DETAILS (CITY CENTRE)**

TITLE:
**1.5M TREE GRILLE
 WITH EXTENDED SIDES**

COMMITTEE:
 DEL

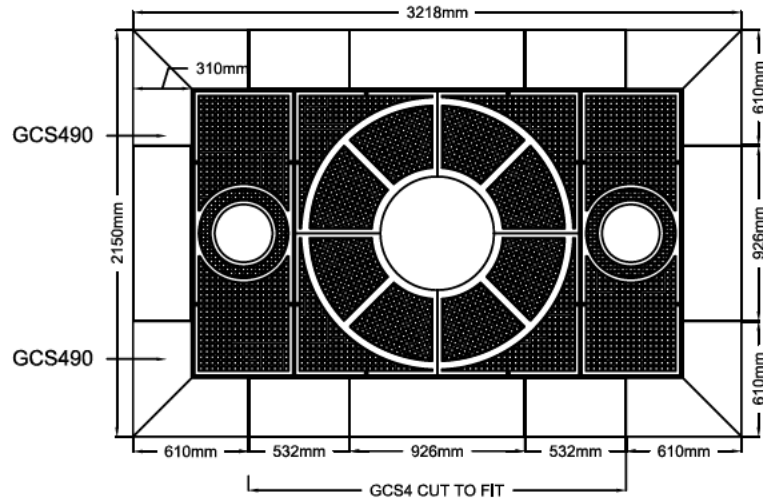
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AS SHOWN

DR: Tr Cxd DATE: JULY 2009 MKRB:

DRAWING No:
A4 CC2

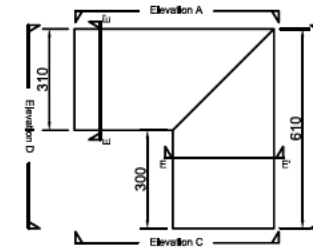
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1.52m WIDE x 2.588m LONG TREE GRILLE (SCALE 1:40)



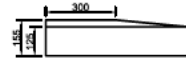
GCS490 (NTS)

PLAN VIEW



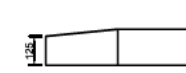
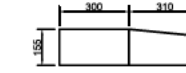
Elevation A

Elevation B

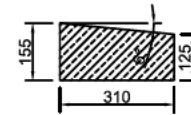


Elevation C

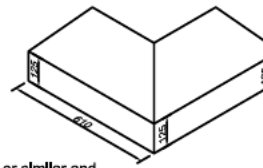
Elevation D



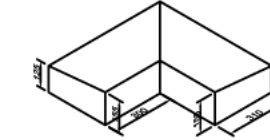
Section E-E'



ISOMETRIC VIEW ONE



ISOMETRIC VIEW TWO



GCS490 NOTES

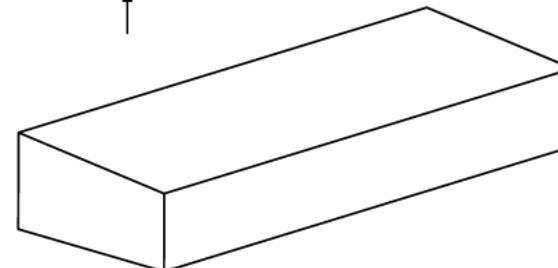
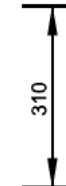
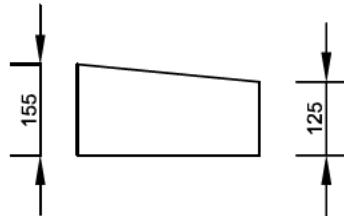
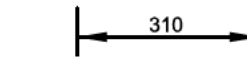
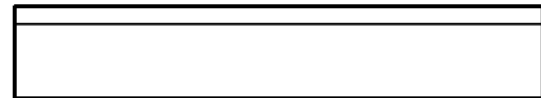
Material: Granite Alantejo dark grey or similar and approved

Finish: sawn sides, fine picked top surfaces

All dimensions in millimetres.

Drawing a revision of Highway standard detail GCS490

GCS4 BLOCK (NTS)



GCS4 NOTES

Material: Granite Alantejo dark grey or similar and approved.

Finish: sawn sides, fine picked top surface

Drawing is a revision of Highway standard detail GCS4

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NOTES:

The gap between blocks to be 2 to 3mm to comply with B.S.7533-6. To ensure remains open the vertical opening into joints should be sealed with silicone before grouting surrounding paving. Joint between granite blocks and tree grille frame to be a nominal 5mm open joint (Dimensions for blocks in drawings based on 2mm joints between blocks and 5mm joints between grille frame and blocks).

Top of blocks to be flush/level with top of frame. In the case of the sloping blocks, then the top of the 155mm edge should be flush with the top of the frame.

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 DIRECTORATE OF DEVELOPMENT
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 EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES
 DIRECTOR
 LES STURCH MRTPI

SCHEME:
 TREE DESIGN GUIDE
 PLANTING DETAILS (CITY CENTRE)

TITLE:
 1.5M TREE GRILLES
 SLOPED GRANITE TRIM

COMMITTEE:
 DEL

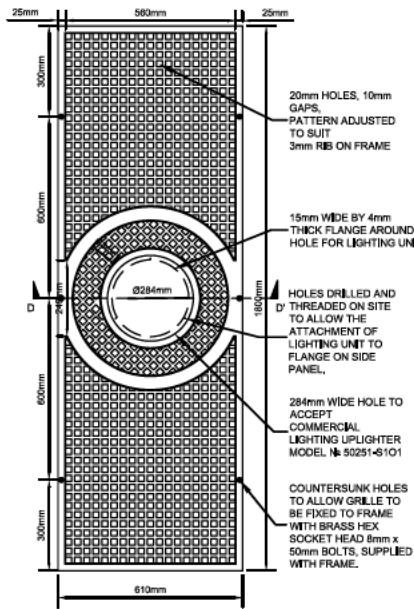
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 AS SHOWN

DR	TR	CRD	DATE:	MCOR:
			JULY 2009	

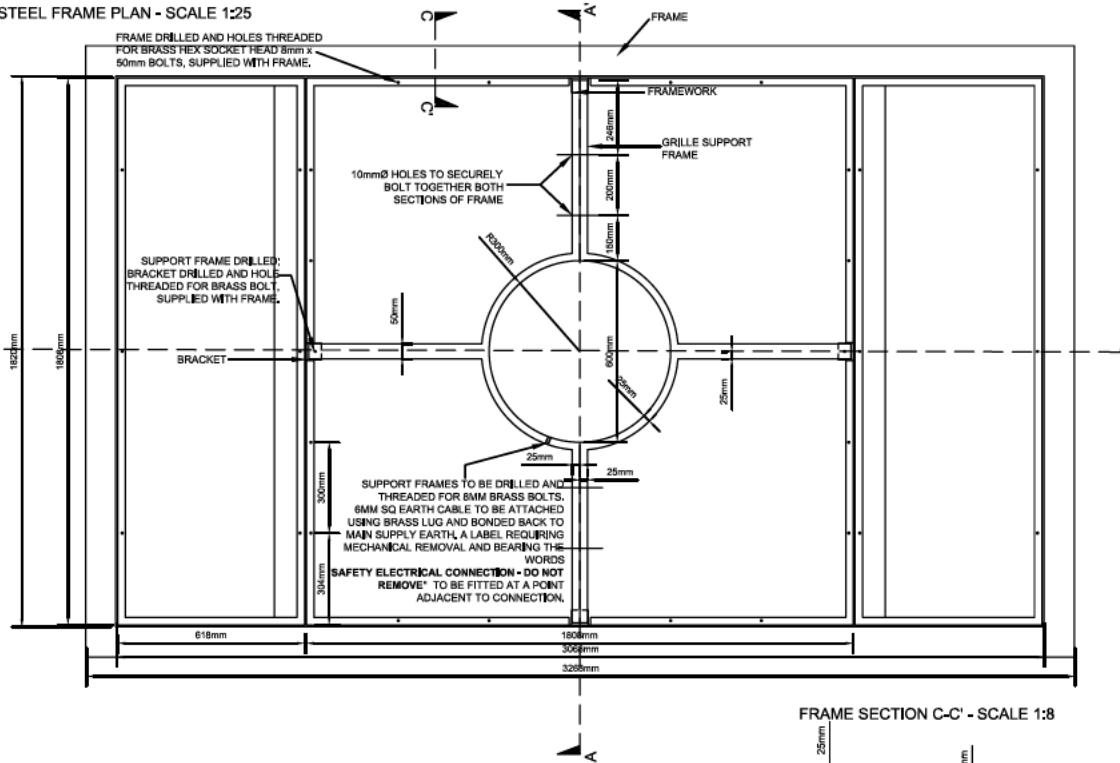
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 A4 CC3

CAD FILE NAME:

SIDE PANEL WITH HOLE FOR UPLIGHTER, PLAN - SCALE 1:25 (two required per completed tree grille)



MILD STEEL FRAME PLAN - SCALE 1:25



NOTES / REVISIONS:

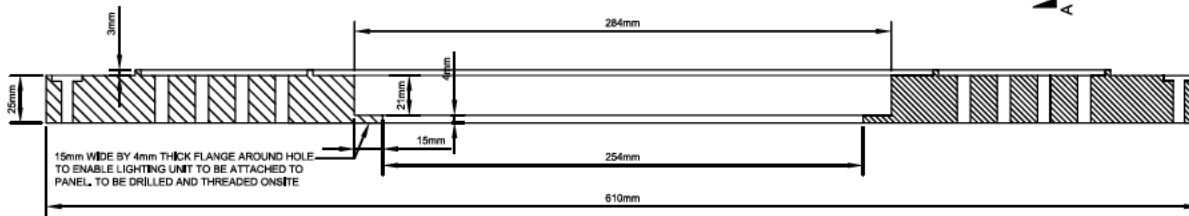
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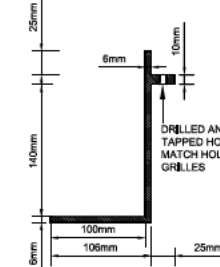
NOTES:

- EACH COMPLETED TREE GRILLE TO COMPRISE:
 - 4 NUMBER 1800mm TREE GRILLE PANELS TO BE MANUFACTURED FROM DUCTILE IRON(SG), EACH 25mm THICK, PAINTED WITH 2 COATS OF MIO (micaceous iron oxide) TO MATCH RAL 7021 (BLACK GREY), TO TAKE LOADING TO COMPLY WITH BS(EN)124 LOADING CLASS GROUP 3.
 - 2 NUMBER, SIDE PANELS TO BE MANUFACTURED FROM DUCTILE IRON(SG), EACH 25mm THICK, PAINTED WITH 2 COATS OF MIO (micaceous iron oxide) TO MATCH RAL 7021 (BLACK GREY), TO TAKE LOADING TO COMPLY WITH BS(EN)124 LOADING CLASS GROUP 3.
 - 1 NUMBER, HOT DIPPED GALVANISED MS FRAME/SUPPORT, TO COMPRISE A SINGLE PIECE FRAMEWORK WITH BRACKETS FOR A TWO PIECE REMOVABLE GRILLE SUPPORT FRAME.
- SIDE PANELS DESIGNED TO ACCEPT COMMERCIAL LIGHTING UPLIGHTER MODEL No 50251-S101
- FRAME TO BE INSTALLED PRIOR TO INSTALLATION OF PAVING, GRILLES AND GRILLE SUPPORT FRAME TO BE REMOVED AND REPLACED FOR PLANTING OF TREE.

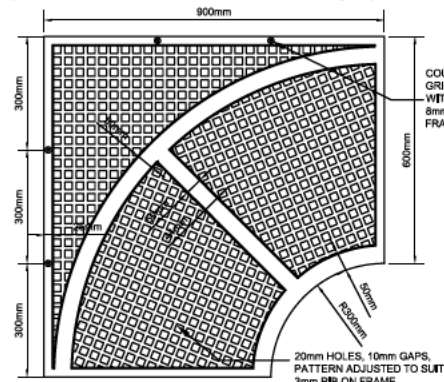
SIDE PANEL SECTION D-D' - SCALE 1:4



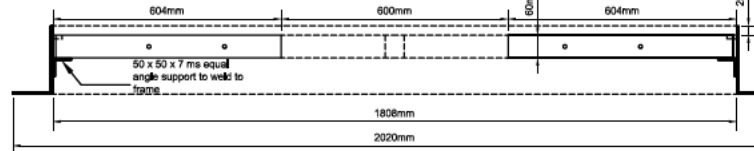
FRAME SECTION C-C' - SCALE 1:8



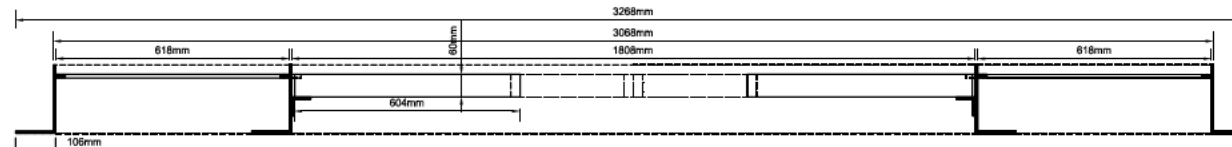
1800mm TREE GRILLE PANEL, PLAN - SCALE 1:10 (one section - four required per completed tree grille)



FRAME ELEVATION A-A' - SCALE 1:20



FRAME SECTION B-B' - SCALE 1:20



SHEFFIELD CITY COUNCIL
 DIRECTORATE OF DEVELOPMENT
 ENVIRONMENT & LEISURE
 EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES
 DIRECTOR
 LES STURCH MRTPI

SCHEME:
**TREE DESIGN GUIDE
 PLANTING DETAILS (CITY CENTRE)**

TITLE:
**1.8M TREE GRILLE
 WITH EXTENDED SIDES**

COMMITTEE:
 DEL

SCALE:
AS SHOWN

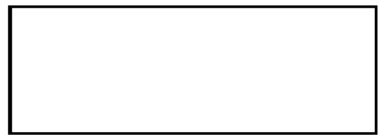
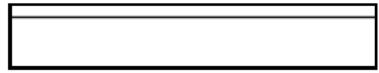
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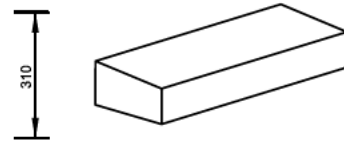
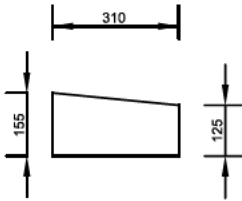
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GCS4 BLOCK (NTS)

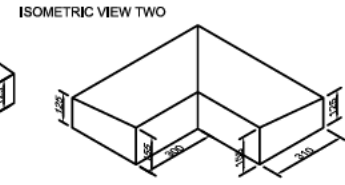
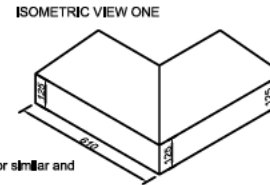
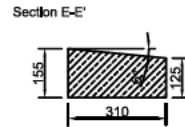
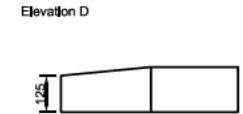
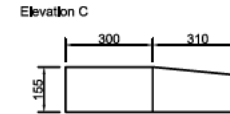
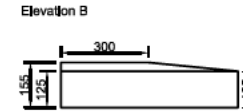
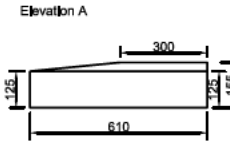
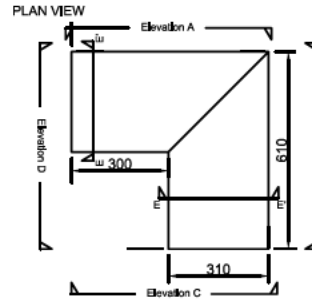
LENGTH VARIES
SEE PLAN VIEWS FOR DETAILS



GCS4 NOTES
Material: Granite Alantejo dark grey or similar and approved.
Finish: sawn sides, fine picked top surface
 Drawing is a revision of Highway standard detail GCS4



GCS490 (NTS)



GCS490 NOTES
Material: Granite Alantejo dark grey or similar and approved.
Finish: sawn sides, fine picked top surfaces
 All dimensions in millimetres.
 Drawing a revision of Highway standard detail GCS490

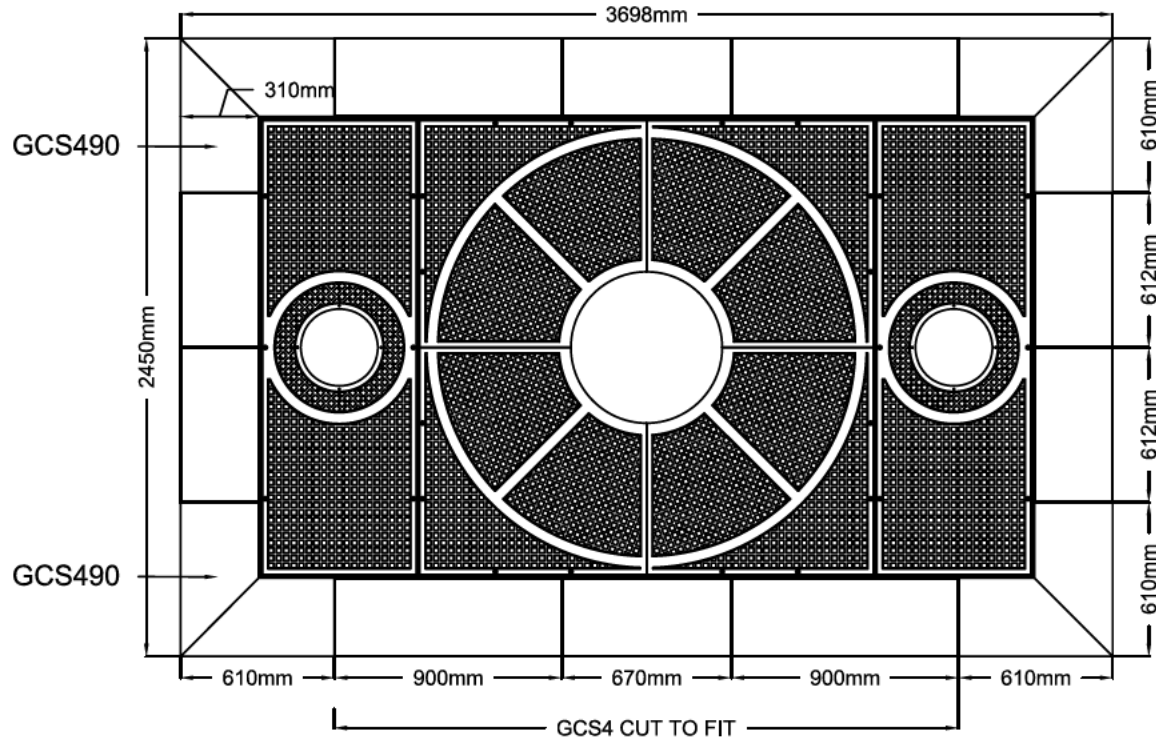
NOTES / REVISIONS:

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NOTES:

The gap between blocks to be 2 to 3mm to comply with B.S.7533-6. To ensure remains open the vertical opening into joints should be sealed with silicone before grouting surrounding paving. Joint between granite blocks and tree grille frame to be a nominal 5mm open joint (Dimensions for blocks in drawings based on 2mm joints between blocks and 5mm joints between grille frame and blocks). Top of blocks to be flush/level with top of frame. In the case of the sloping blocks, then the top of the 155mm edge should be flush with the top of the frame.

1.82m WIDE x 3.068m LONG TREE GRILLE (SCALE 1:30)



SHEFFIELD CITY COUNCIL
 DIRECTORATE OF DEVELOPMENT
 ENVIRONMENT & LEISURE
 EXECUTIVE DIRECTOR: DANNY BRENNAN

DEVELOPMENT SERVICES
 DIRECTOR
 LES STURCH MRTPI

SCHEME:
 TREE DESIGN GUIDE
 PLANTING DETAILS (CITY CENTRE)

TITLE:
 1.8M TREE GRILLES
 SLOPED GRANITE TRIM

COMMITTEE:
 DEL

SCALE:
 AS SHOWN

DR	TR	CKB	DATE:	MISC:
			JULY 2009	

DRAWING No:
 A4 CC5

CAD FILE NAME:

APPENDICES

Table 1. Direct and indirect problems and possible solutions for establishing trees in public locations to be considered by the developer.

<u>Problem</u>	<u>Possible solutions</u>
Direct	
1. Irrigation	Planting maintenance techniques Develop irrigation plan Balance planting quantity with resources
2. Soil compaction or poor quality	Remediation of site pre-planting Site selection and assessment Trench planting
3. Direct damage	Planting style (physical barriers) Location selection Site assessment Care during transport and storage
4. Poor planting	Train workforce in proper methods Reduce extent of planting Monitor planting techniques
5. Poor tree quality	Develop quality purchase system Build relationships with suppliers Mix suppliers periodically
6. Maintenance (lack of)	Plant in accordance with available resources Maintain accurate records Develop an aftercare plan prior to planting
7. Planting logistics	Plan planting exercise
Indirect	
1. Physical damage (from other service delivery, e.g., grass cutting)	Notification of planting sites Interdepartmental consultation Apply mulch
2. Limited finance/resources	Planting style/quantity Establish priority requirements Explore sources of finance
3. Development/refurbishment	Interdepartmental consultation/agreements Planting awareness, advertising Accept scheme has a limited "shelf life"
4. Neglect	Establish sense of ownership Satisfy requests for trees Plant for personal reasons, e.g., commemorative Promote maintenance by residents
5. Vandalism, people pressure	Public consultation Establish the level of tree desirability

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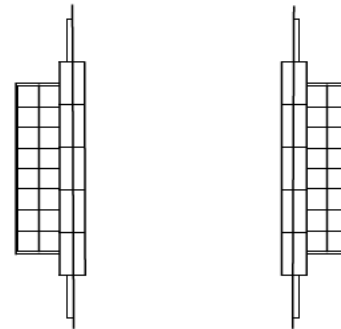
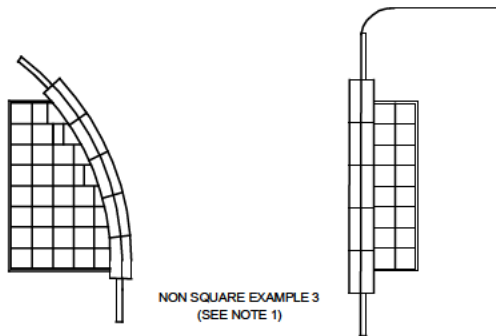
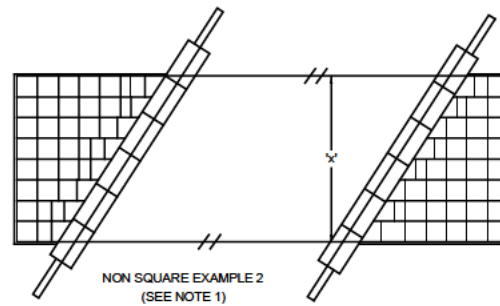
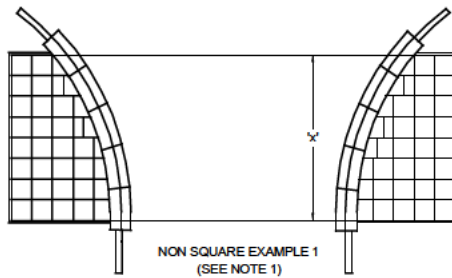
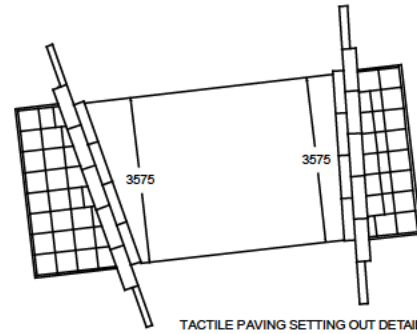
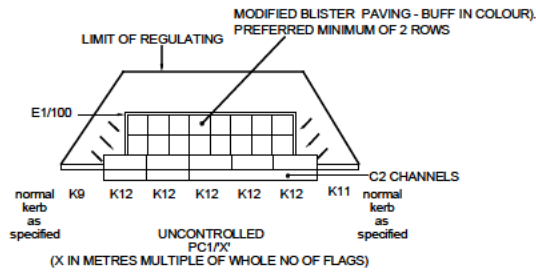
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3. Winter Maintenance Policy

Contained in Annexure 12 (*Routine Maintenance Protocol*)

4. Uncontrolled Tactile Crossing Standard Detail



Notes

1. None square layouts to be checked by the Engineer prior to installation.
2. Upstand of K12 kerbs to be 6mm with a tolerance of ± 3 mm.
3. The dimension "X" denotes the width of the crossing - this example is 3.575m (Dimension comprises 8No. tactile pavings each 445mm wide plus 9 joints at 1.5mm)
4. Tactile paving to be Group 13R footway (445 x 445 x 70mm thick modified blister paving - Buff in colour).
5. Maximum crossfall of tactile paving to be 1 in 12 (8%).
6. C2/100 channels are to be laid adjacent to the K12 kerbs on uncontrolled crossings where drainage problems are apparent or the longitudinal gradient is less than 1 in 100.
7. All dimensions are in millimetres.
8. All paving shall comply with Clause 1104 of the Specification for Highway Works.

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- Any errors/omissions to be reported immediately
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DRAWN	TRACED	CHECKED
SMS SEPT 07		MAF Sept 2007

Client
SHEFFIELD CITY COUNCIL

Scheme
STANDARD DETAIL DRAWING

Drawing Title
UNCONTROLLED TACTILE CROSSING

Drawing No
HD/1100/21/2

Scale
N.T.S **A4**



Date
SEPT 07

5. Authority's Customer Complaints Procedure



Sheffield City Councils Complaints Procedure

Sheffield *where everyone matters*



CUSTOMER SERVICE EXCELLENCE

Sheffield
City Council





Sheffield City Council Complaints Policy

Introduction and Background

Sheffield City Council regards complaints handling as a fundamental part of service delivery. Effective complaints handling is particularly important because many of our services such as care, benefits and housing are critical to vulnerable customers.

The main legal requirement for the council to have a complaints policy and procedure is the statutory duty for investigating complaints about children's and adult social care services. Complaints about the council are handled through our corporate complaints process, Tell Us What You Think (TUWYT).

Our complaints handling process is only fully effective where it also informs and results in service improvement and where we tell our customers what we have done and demonstrate that we have listened and acted on their feedback.

The council's commitment in its Corporate Plan to putting customers at the heart of service delivery requires that our approach to complaints handling goes beyond prompt and professional resolution. It informs our understanding of customer needs and preferences and drives service development activity to make services more customer focused.

Our complaint handling also enables us to promote council equalities and diversity objectives and fulfils our duties under equalities legislation.

This Policy on corporate complaints updates previous statements on complaint handling procedures.

Definitions and Scope of the Policy

What is a Complaint?

Our corporate definition of a complaint is deliberately broad, it is, “any expression of dissatisfaction whether justified or not.” This policy recognises two levels of complexity in dissatisfaction resolution:

Complaints **resolved at point** of contact where the customer’s issue is fully responded to within 24 hours / one working day

Or

Complaints that can’t be resolved at point of contact or require further **investigation** or a written response to the customer.

Our standards for responding to customers are laid out in our Customer Charter which states that wherever possible complaints will be dealt with straightaway at point of contact. If this is not possible then we will give the customer a response within 7 calendar days and the longer timescale of 28 days is only appropriate for particularly complex or difficult to investigate complaints.

The customer’s dissatisfaction is the critical element that distinguishes a complaint from a service request.

Where a customer expresses dissatisfaction it should not be ignored. It needs to be responded to, either as a matter to be resolved at point of contact or where an investigation and response is required.

Professional complaints handling involves more than simply responding to the presented problem. In order to build / rebuild a relationship of trust and confidence between the customer and the service, it needs to understand and seek to address the root cause of the customer’s dissatisfaction. Complaints will normally fall into the following categories:



- Problems caused by something we have done or not done.
- Dissatisfaction with the way the customer has been treated.
- Dissatisfaction with managers' decisions or council policies.
- Dissatisfaction with the quality or quantity of service being provided.
- Dissatisfaction with the cost of services or charging mechanisms.

Certain types of disagreement with the council may be triggered by the complaint process but may not always be fully resolved through this mechanism. Some of these processes are:

- Where the legal proceedings route is being pursued.
- Where there is an appeal or arbitration process.
- Disciplinary proceedings against staff.
- Safeguarding adults or children procedures.
- Police investigations and criminal proceedings.
- Where there is an alternative or more appropriate external complaints process – such as complaints against a school or contracted provider.
- If it is about the conduct of a Councillor.

Complaints Compliance with Data Protection and Consent Policies

Complaints will be handled in the strictest confidence at all times. Staff will ensure that any information received as part of the handling of the complaint is disclosed only to those who have a demonstrable need to know it.

Where complaints are made by a third party on behalf of a customer, then the consent of the customer for the complaint to be raised should be confirmed.

Complaints that are about Partners or Contracted Service Providers

All our Partners will have a policy and procedure that is the equivalent to or exceeds our Corporate Policy and Procedure.

The council's procurement process should ensure that contracted service providers have a complaints process equivalent to or exceeding our corporate process and contract monitoring systems will check its operation and effectiveness.

The council should have protocols with its contracted service providers to ensure that the respective responsibilities in terms of investigation, resolution and redress are fully discharged. In the event of a customer's complaint not being accepted by a service provider the council's Complaints Team will take responsibility for the complaint and ensure that it is dealt with by the relevant service.





Policy Statement

It is the policy of Sheffield City Council that all our services view complaints as a valuable form of feedback and are committed to dealing with them promptly and professionally. Our customers' experience of making a complaint should be that it is easy to do and that the complaint is handled in line with the policy and procedure irrespective of where they make it and to whom.

The council's commitment to responding positively to customer dissatisfaction will be reinforced by all levels of managers in the council.

In order to make it easy for customers to tell us their complaint, TUWYT forms will be available at all our 'in-person access' points. Customers can make their complaints by any available channel: face to face, by telephone, in writing using our paper TUWYT form or electronically, from our website, or by email. Staff who receive customer feedback will respond to it in

accordance with this policy and the corporate procedure and the complaints operational manual.

The council will ensure that the process is accessible to all customers and make arrangements to remove actual or perceived barriers to lodging a complaint including those arising from the customer's disability, language, literacy, age or caring responsibility.

Customers who complain will be treated fairly and will not be discriminated against either in the investigation or conclusion of their complaint or in any service they receive or request.

The council will monitor complaints about its services and quality of service to specifically learn how it can eliminate harassment and unlawful discrimination, and promote good relations, positive attitudes and equality of opportunity.

We will ask customers who have had their complaint investigated how satisfied they are with the process.



Policy on Recording Complaints

All complaints that require an investigation, whether locally or via the council's Complaints Team, will be logged with key information including date of receipt, nature of the complaint and customer information (unless the complainant wants to complain anonymously) There will be a full audit trail of all activity to investigate and resolve the complaint.

Where services have no IT system for recording customer contact and complaints resolved at point of contact they should at least record details of what the complaints were about. They should review this regularly within teams and use satisfaction monitoring activity to achieve a better insight into the root cause of these complaints and how they affect different customers.

Remedy, Redress and Compensation

In resolving a complaint we will acknowledge the impact that the matter has had on the customer and others connected with them. We will apologise where we have caused distress or inconvenience and we will work with the complainant to try and achieve their preferred resolution of the complaint.

This may involve correcting the cause of the problem or restoring those affected to the position they were originally at or compensating them in some way for relevant loss.

We should use the same approach to remedy and levels of financial compensation as the Local Government Ombudsman uses.

Roles and Responsibilities

The council's Complaints Team will provide help, advice and support to customers wanting to make a complaint. Services also have a responsibility for providing information about the process and helping customers access the most appropriate process.

The council's Complaints Team will be available to receive and record any complaint from any customer. Customers may also use any other access points to initially make their complaint.

Complaints will be entered onto i-casework and risk assessed using the councils risk assessment tool.

The council's Complaints Team will produce regular performance reports for Senior Managers.

Appropriate managers will be responsible for investigating complaints about their service and for ensuring that all current investigations into complaints are tracked, monitored and target dates for responses met.

Managers will be supported by Case Coordinators from within their service to ensure that the handling of the complaint is recorded on the "i-Casework" system.

The Service will be responsible for telling the complainant what they can do:

- **if they are not satisfied with the outcome of the complaint.**
- **the way it has been handled.**
- **how to request a review or details of the Local Government Ombudsman role in carrying out independent investigations of complaints.**
- **how to contact the LGO service. The Service is responsible for carrying out or arranging a requested review of the complaint – the primary purpose of which is to ensure that the Service has done everything it can to resolve the complaint and the customer's dissatisfaction.**

Accountable Managers will have ultimate responsibility for the quality of the complaints handling and signing off final written response to complainants as well as, normally, carrying out any complaint Review investigation.

Sheffield City Councils Complaints Procedure

Contents:

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1	Publicising our commitment to resolving dissatisfaction and making our complaints procedure easy to access	12
2a	Receiving and recognising a complaint made face to face or on the telephone and deciding what to do	14
2b	Receiving and recognising a complaint made in writing and deciding what to do next	16
3	Resolving a complaint at Point of Contact	19
4	Local Investigation and Resolution of a Complaint	22
5	Escalation and Review of Unresolved Complaints	25
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Introduction to the Procedure

This is the council's statement on how complaints to the council should be handled by its staff and managers. It should be read alongside the council's Complaints Policy and the Operational Manual on use of the i-casework complaints management IT system.

The procedure defines how all the different aspects of complaint handling are to be carried out and particularly the outcomes and experiences for customer that we are seeking to achieve through professional complaints handling. The procedure document comprises six modules addressing specific complaints handling roles. Some staff will be involved in more than one complaints handling role and thus will need to refer to more than one part of the procedure.

The procedure also defines how staff will work with the council's Complaints Team. The procedure will also be the basis for agreeing with Partners and contracted service providers how they will handle complaints.

There will be separate practice notes on handling a complaint from or about a service to a child or young person and from a customer with a learning disability.

The main aim of complaints handling is to resolve the customer's dissatisfaction with the service and not just addressing any practical problems they present.

Accordingly each section starts with an outline of the customer experience and the outcomes that should be delivered for customers by the complaints procedure.

These are some of most common behaviours that get in the way of resolving the customer's dissatisfaction:

- **Customers' perceptions of us and how they think we are going to treat them.**
- **First impressions - how we respond to the presented dissatisfaction.**
- **Poor communication – not being clear in what we say or write and not keeping customer informed.**



- **Not doing simple things to respond to the customer's dissatisfaction - for example reluctance to offer and apology.**
- **Concentrating on the practical problems and ignoring how the customer has been treated or is feeling.**
- **Failure to try and rebuild a relationship of trust and confidence in service – especially through a commitment to prevent recurrence of the situation.**
- **Poor skills and effectiveness in resolving dissatisfaction as well as problem.**
- **Customer's unwillingness to seek resolution.**
- **Customer does not perceive sufficient commitment to preventing recurrence and building confidence in service.**

Attention to these is just as important as following the correct procedure.

The council is striving to provide products and services that customers are highly satisfied with. Understanding what customers find unsatisfactory about these is vital to providing better service and increasing customers' satisfaction with what the council provides.

The number and intensity of complaints received can vary according to the service.

Across the whole of council staff respond, daily, to customers who express some form of dissatisfaction with some aspect of the service or our decisions. Responding to this can be time consuming and requires skill, care and effort to get right. However, positive professional complaints handling has a positive impact on staff, service development and delivery as well as customers' experience.

This procedure is designed to help staff understand how the council expects complaints to be dealt with. It is a tool that supports managers and helps their teams deal more effectively with customer dissatisfaction.

Key principles:

- **Complaints handling is about dealing with customer dissatisfaction.**
- **If a customer is dissatisfied we want to know what they are unhappy about and why and what they feel we could have done better or differently.**
- **Our intention is to resolve customers' dissatisfaction at point of contact.**
- **Dissatisfaction may be about a problem that the customer wants dealing with or about the way they feel they have been treated or about a policy / procedure (something the council does or does not do) and how that has impacted on them or others connected to the customer.**
- **In addition to seeking to resolve customer dissatisfaction we need to learn how to reduce or prevent this dissatisfaction re-occurring for them or others and improving service quality and delivery.**
- **"Customer" means any individual, group of people or organisation that use or are affected by our services - but not employees involved in the delivery of the service.**

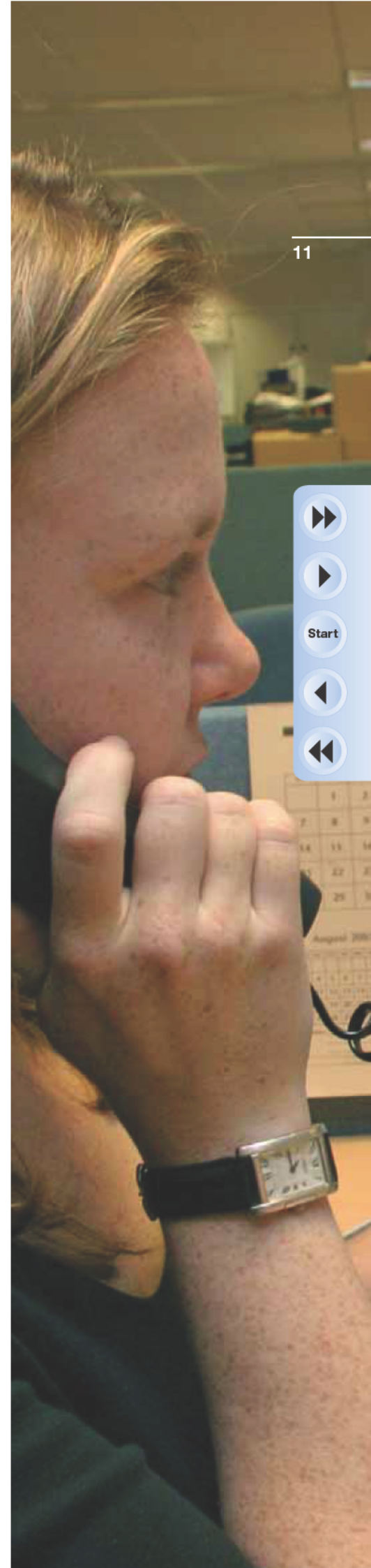


Start



Key elements of our approach:

- We listen to and understand the customer's dissatisfaction.
- We show we are concerned that the customer is feeling dissatisfied.
- We seek to act promptly to respond to expressed dissatisfaction.
- We keep the customer informed about what we are doing to resolve their complaint.
- The aim is not to necessarily make a dissatisfied customer a happy one, which may be beyond the your control. The purpose is to understand the root cause of the customer's dissatisfaction and to have done everything reasonable to have addressed the dissatisfaction.
- We take responsibility for resolving customer dissatisfaction.
- We do what we say we are going to do when we say we will do it.



1

Publicising our commitment to resolving dissatisfaction and making our complaints procedure easy to access

Customer Experience

- Customers feel that the council is interested in hearing from them when they are unhappy about a council service.
- Customers feel that council staff will seek to resolve problems and dissatisfaction.
- Customers feel that it is worth making a complaint because the council makes changes as a result of receiving feedback.

Outcomes for the Customer

- Customers understand that they can make a complaint in a range of ways.
- Customers know what to do in order to make a complaint.
- Customers are confident that their complaint will be dealt with fairly professionally and promptly.
- Customers can make their complaint in the way they choose.

Key objectives	Key Actions
Ensure all staff who are in contact with customers know about the council's Complaints Policy and what customers need to do if they want to make a complaint.	Line managers should ensure that at 121s and for new staff during their induction that the TUWYT process and the Customer Charter is explained to them.
Ensure that face to face access points have copies of the Tell Us What You Think form and Customer Charter and these are displayed and made available to take away.	Managers and staff check that these are displayed kept up-to-date.
Ensure all staff are aware that they should take a customer complaint whether made by 'phone, email / online, letter or face to face. Customers do not only have to use the Tell Us What You Think form to register their feedback.	Managers check that staff understand the procedure on receiving complaints.
Ensure that staff know what to do if the customer requires interpretation / translation or material in alternative formats to help them give us their feedback.	Managers inform staff of the different interpretation and translation services available.
Publicise examples of feedback that the service has had and what it has changed as a result of the feedback.	Managers look at the most appropriate ways to communicate with its customers on the theme of "You said We did".



Start



2a

Receiving and recognising a complaint made face to face or on the telephone and deciding what to do

With the customer present it is usually possible to understand better what the issues are and to resolve the matter there and then. If the matter that the customer is dissatisfied with is something your service deals with then you should try and resolve the issue with the customer at the point of contact. If you need to look into the issue or obtain information before answering the complaint you should advise the customer what you plan to do and when, ensure the issue is recorded and the appropriate investigation process is started.

Customer Experience

- It is an easy process to tell us about what they are unhappy about – they are not passed around the council.
- Felt listened to, not dismissed or presented with a defensive response.
- Felt we understood the key elements of the complaint and their concerns about them.
- Felt that we took responsibility for addressing their complaint.

Outcomes for the Customer

- Customers complaint has been recognised and recorded with the council.
- Customer is confident that it will be responded to promptly, appropriately and professionally.
- Customer knows what will happen next and doesn't have to do any more at this stage.

Key objectives	Key Actions
Customer feels that they are able to tell us what they are unhappy about.	Let the customer speak and listen to what they are saying without interrupting except to acknowledge or clarify what is being said.
Staff have explained consent requirements to the complainant where the complaint is being made by a 3rd party.	Check that the person who the complaint is on behalf of has agreed to it being raised by the 3rd party raising it.
Customer knows that their dissatisfaction(s) has been received and understood by the person who they are talking to.	Member of staff tells the customer that they recognise that they are unhappy and what they understand what they are unhappy about – e.g. “I can see you are unhappy about...”
Check Key Practice Considerations (page 18).	Assess risk, consent, sensitivity etc.
Understand what the appropriate action is for the customer, be clear what action is required to resolve the customer’s dissatisfaction e.g a response to their complaint, or is it a service or information request?	<p>If it is not clear what the customer wants to happen next, clarify this and be clear what are the appropriate next steps from what you have heard in order to resolve the dissatisfaction.</p> <p>Look out for key risk issues – see Risk Assessment tool.</p>
<p>Agree with the customer on which of the two options happens next.</p> <p>i. Resolve the matter there and then.</p>	Apologise for the problems raised and if you’re able to resolve the issue within your area within 24 hours, record this as agreed by your service area.
ii. If it requires investigation or needs input from another service area, take all the details of the complaint and customer’s contact details and refer to the intranet for who to pass this to.	If the issue requires investigation or needs input from another service area you need to send it to the complaint Case Coordinator for your area (you can find details of trained people in your service area on the complaints pages of the intranet) who can record the complaint information onto the corporate system. This will then be acknowledged, investigated and a response provided to the customer.
Where further action is taking place ensure that the customer knows what is happening next.	Ensure that the customer understands what is happening next, we aim to resolve complaints within 7 days or where this is not possible or the issue is of a more complex nature, we acknowledge within 7 days and resolve within 28 days.



Start



2b

Receiving and recognising a complaint made in writing and deciding what to do next

Where the customer has put their dissatisfaction in writing (including letters, fax, email and TUWYT forms) you must send it to the case coordinator for your area (you can find details of trained people in your service area on the complaints pages of the intranet) who can record the complaint information onto the corporate system. This will ensure the complaint is acknowledged, investigated and a response provided to the customer. If the complaint is for your service area, speak to your case coordinator to get the complaint onto the system and ensure this is distributed to the most appropriate manager to investigate the complaint.

Customer Experience

- I was notified that my complaint had been received and that it was being dealt with by the appropriate team / service.
- I felt the complaint was being treated seriously and responded to professionally.
- Where the council wasn't fully clear on the detail of the issue, contact was made to ask for more information or clarification.

Outcomes for the Customer

- Customer is confident that it will be responded to promptly, appropriately and professionally.
- Customer knows what will happen next and doesn't have to do any more at this stage.

Key objectives	Key Actions
Understand what the appropriate action is for the customer, be clear what action is required to resolve the customers dissatisfaction e.g a response to their complaint, or is it a service or information request?	<p>If it is not clear what the customer wants to happen it may be possible to clarify this with the customer by phone or return email.</p> <p>Be clear what the appropriate next steps are, from what you have read in order to resolve the dissatisfaction.</p>
The written correspondence is forwarded to the relevant case coordinator to ensure that this is added to the customers records.	Speak to your case coordinator about the best and most appropriate way to get the written correspondence to them, this may be via a variety of methods.
Check Key Practice Considerations (page 18).	Assess risk, consent, sensitivity etc.



Start



Key practice considerations

1. Communication needs

Be aware of other support or resources within the council that can help you communicate with customers. Refer to supporting information and procedures on the intranet and our website for:

- identifying a customer's language and accessing interpretation / translation service.
- accessing an interpreter for deaf or hard of hearing customers.
- communication with a customer who has a learning disability, difficulty with memory or some other problem that impairs their cognitive ability.
- customer whose speech is affected by disability.

2. Risk assessment

Seek help from your line manager or the Complaints Team if you are concerned that you are being told about issues that are of high risk to the customer or the council – e.g. someone's safety or a matter of significant reputational risk to the council or a criminal act.

Remember not all customers express the extent to which they are upset in loud, long or aggressive terms. The degree of customer upset is a risk consideration that may require managing.

3. Sensitivity to the customer

Occasionally the matter that the customer is raising or their circumstances may require additional care and sensitivity.

If the complaint includes information of a personal nature then the need for privacy and consideration of who is the best person to speak to the customer and deal with the matter needs to be considered.

4. Consent and confidentiality

If the customer is making a complaint on behalf of another person ensure that you can verify that the other person agrees to this being raised on their behalf. Consent need to be informed and all parties need to be clear about the limits of the consent.

5. Unreasonable and Unreasonably Persistent Behaviour from Complainants

Seek advice from the Complaints Team or refer to the council's Policy on Unreasonable and Unreasonably Persistent Behaviour from Complainants if a complaint is being pursued in a way that is unreasonable or unacceptable behaviour

or

if a complainant makes unreasonable demands on the complaints handling process or continues to pursue a matter that has already been fully answered.

Policy on Unreasonable and Unreasonably Persistent Behaviour:
<http://sheffield.net/managers/customer-service/customerfeedbackandcomplaints/complaintspolicyandprocedure>

6. Data Security

A complaint can contain a range of personal and sensitive information, you need to be conscious of this when dealing with a complaint and communicating with or about the customer and at all times comply with the council's Data Security guidelines – e.g. restrictions on sending personal information by email.



Start



3

Resolving a complaint at Point of Contact

Receiving a complaint in person or on the phone provides you with an opportunity to resolve it there and then.

The majority of complaints presented to the council by phone or face-to-face are resolved locally at point of contact by staff involved in delivering services to their customers. This is the preferred approach to resolving customer dissatisfaction and an important factor to most customers.

Where a complaint is not resolved at point of contact refer to the complaints section of the intranet, take all the details of the complaint and customers contact details and find out who you need to pass the complaint to so it can be recorded and investigated.

Customer Experience

- Customer felt that the person responding to the complaint understood it and was empowered to address all the concerns raised and make a genuine apology and appropriate remedy on behalf of the service and the council.
- Customer felt the complaint was treated and taken seriously and responded to professionally.
- Customer feels that they were treated with respect, fairly and as an individual.

Outcomes for the Customer

- Customer is satisfied that their complaint was responded to promptly, appropriately and professionally.
- Customer would feel confident telling us if they were dissatisfied in the future.
- Customer has their confidence and trust in the service restored / increased.



Key objectives	Key Actions / Skills
Check that it is appropriate to deal with the complaint at point of contact.	Check Key Practice Considerations – especially communication.
<p>Give the customer confidence that you can and will resolve the matter.</p> <p>Customer agrees to this being dealt with there and then.</p>	<p>Tell them that you want to understand and resolve their complaint as fully and quickly as possible.</p> <p>Skills of balancing leading the conversation and actively listening.</p> <p>May need to adapt communication style to whatever is most effective.</p> <p>Tell the customer that you want to respond to the complaint there and then – are they OK with that?</p>
Establish why the customer is unhappy and get a clear understanding of what the customer sees as a resolution to this.	Note where the service failings have been and clarify, without challenging, the customer expectations of what should have happened.
Listen / ask about the impact of the complaint on the customer / others.	Note distress and inconvenience to the customer (and where appropriate others).
Clarify and confirm what the customer would like to be done to put things right.	<p>Confirm back to the customer and note.</p> <p>If the customer simply wants an apology then where appropriate say sorry and assure the customer that you have recorded the issue.</p>
<p>Recheck that it is still right to seek to resolve the complaint at point of contact.</p> <p>If you feel you are unable to resolve the issue at point of contact explain that we will record the complaint and this will be acknowledged and investigated.</p>	Consider your time, customer's time and impact on other customers, as well as relevant Key Practice Considerations.



Start



Key objectives	Key Actions / Skills
Take control of the resolution negotiation.	<p>Summarise what the customer has told you especially what the customer would like done:</p> <p>Tell the customer that you are sorry. Where there has been service failure explain what should have happened.</p> <p>Specifically address those things that the customer wants to happen – what is possible and what isn't.</p> <p>What else can you do to address problems, resolve dissatisfaction or restore relationship.</p>
Customer happy with response.	Propose response and check customer is happy with it.
Customer satisfied with outcome and / or how it has been handled.	Take agreed actions.
Customer NOT satisfied with outcome and / or how it has been handled but is aware of options.	<p>If the negotiation is unresolved check with the customer on what they want to do and explain that we will record the complaint and this will be acknowledged and investigated.</p> <p>Send the complaint to the case coordinator for your area (you can find details of trained people in your service area on the complaints pages of the intranet) who can record the complaint information onto i-casework.</p>
Complaint resolved.	You should have an agreed way of recording resolved at point of contact complaints in your service area. Speak to your line manager if you're unsure of what to do.



Start



4

Investigation and Resolution of a Complaint

CARRIED OUT BY i-CASEWORK USERS ONLY

Where customers contact services direct or where complaints are redirected from a customer access point, it is the role of the team responsible for this service to investigate and seek to resolve the complaint. The customer contact may be by phone or in writing / electronically.

Customer Experience

- Customer felt that the person responding to the complaint understood it and was empowered to address all the concerns raised and make a genuine apology and appropriate remedy on behalf of the service and the council.
- Customer felt the complaint was treated seriously and responded to professionally.
- Customer felt that they were treated with respect, fairly and as an individual.

Outcomes for the Customer

- Customer is satisfied that their complaint was responded to promptly, appropriately and professionally.
- The issues raised by the customer have all been responded to and all opportunities to resolve these have been explored.
- Where the Service has agreed to actions to remedy and resolve the complaint the customer understands what is going to be done by whom and by when and is confident this will happen.
- Customer would feel confident telling us if they were dissatisfied in the future.
- Customer has their confidence and trust in the service restored / increased.

Key objectives	Key Actions / Skills
Check that it is appropriate to proceed.	<p>Check Key Practice Considerations – especially communication.</p> <p>Details of complaint are sent to the Complaints Team if it has not come from them.</p>
Establish the customer's view of what happened and obtain an understanding of what they are unhappy about.	<p>Note any practical problems, service, including customer service, failings and clarify, without challenging, the customer expectations of what should have happened.</p>
Listen /ask about the impact of the complaint on the customer / others.	<p>Note distress and inconvenience to the customer (and where appropriate others).</p>
Clarify and confirm what the customer would like to be done to put things right.	<p>Confirm back to the customer and note if the customer simply wants an apology then where appropriate say sorry and assure the customer that you have logged the issue.</p>
<p>Agree with customer how they will be informed of proposed resolution.</p> <p>Take control of the resolution negotiation.</p>	<p>Draft a full response to the complaint in writing and forward to Accountable Manager.</p> <p>Summarise what the customer has told you especially what the customer would like done:</p> <p>Include an apology for the impact of problem on them or others.</p> <p>Where there has been service failure explain what should have happened.</p> <p>Specifically address those things that the customer wants to happen – what is possible and what isn't.</p> <p>What else can you do to address problems, resolve dissatisfaction or restore relationship.</p> <p>This question is included in the template response letter along with details on what to do next if still unhappy.</p>





Start



Key objectives	Key Actions / Skills
If the Customer is satisfied with outcome and / or how it has been handled.	Take agreed actions.
Customer NOT satisfied with outcome and / or how it has been handled but is aware of options.	If the negotiation is unresolved and the customer agrees, you should refer this to the Accountable Manager and notify the Complaints Team.
Customer wishes to pursue complaint to review stage.	Take details of the complaint and forward to the Complaints Team.

5

Escalation and Review of Unresolved Complaints

CARRIED OUT BY i-CASEWORK USERS ONLY

Where the customer is not satisfied with the outcome of their complaint or the way their complaint has been handled they can ask for this to be reviewed by the service. This is an opportunity to review the investigation process and conclusions and the steps taken to achieve resolution of the customers dissatisfactions. It should be led by the Head of Service who signed off the Investigating Manager's final response. This is important as the next step the customer may choose is to refer their complaint to the Local Government Ombudsman.

Customer Experience

- Customer felt that they have been listened to and their dissatisfaction with the outcome or handling of the complaint has been understood.
- Felt the complaint was treated seriously, impartially and responded to professionally.
- Customer feels that they were treated with respect, fairly and as an individual.

Outcomes for the Customer

- Customer is satisfied that their complaint was looked at fully and thoroughly.
- The issues raised by the customer have all been responded to.
- Where the Service has agreed to actions to remedy and resolve the complaint the customer understands what is going to be done by whom and by when and is confident this will happen.
- Customer would feel confident telling us if they were dissatisfied in the future.
- Customer has their confidence and trust in the service restored / increased.



Key objectives	Key Actions / Skills
Decide who is to carry out the review.	<p>Contact the Case Coordinator for your area (you can find details of trained people in your service area on the complaints pages of the intranet) who can check the information on the corporate system, i-Casework, before deciding if the complaint is eligible for review.</p> <p>If the complaint hasn't been recorded, send the complaint to the Case Coordinator for your area who can record the complaint information onto i-casework.</p>
Clarify and confirm with the customer the key issues that they want to be reviewed.	Refer to any previous recorded notes and if necessary make contact with the customer to clarify the issue.



6

Complaints Monitoring and Reporting Procedure

Monitoring and reporting on complaints by the Complaints Team

The Complaints Team will produce and publish a monthly report for each service area showing complaints received the previous month, all those that remain open, the risk status and the time-scale for response.

The Complaints Team will also publish a quarterly report on each service area covering the following elements.

1. Number of:
 - **investigated complaints**
 - **complaints resolved at point of contact**
 - **escalated complaints**
 - **outcome of investigations**
 - **satisfaction score with handling of complaints**
2. The top five to ten topics that the complaints were about – with a focus on identifying the root causes.
3. How many complaints were responded to within 7,14,21 and 28 days and over 28 days.
4. Actions and changes taken as a result of learning from complaints or other feedback.
5. Any other observations – patterns trends especially in terms of specific complaints coming from particular groups of customers or a certain geographical areas.
6. Monitoring information (including equalities monitoring and details of channels used to make complaint).



Start



Monitoring and reporting on complaints by the Service and Team Managers

Service Managers and Team Managers and staff teams on a monthly basis, should spend some time reviewing the feedback they have had from customers (for example in a team meeting or 121).

This is an opportunity to:

- Review the range of issues that are raised in complaints and feedback received over the past month.
- Discuss practice issues for the team / individual around handling.
- Review any complaints that are high risk of escalation or proving difficult to resolve.
- Discuss and record action points about learning and service development resulting from complaints.

Learning and service improvements that have not been captured in the reports by the Complaints Team should be emailed to them so that they can be included in the reports.

Monitoring and reporting on complaints Heads of Service

Heads of service will review monthly complaints being dealt with by their service and discuss with service / team managers the following:

Details of complaints that are identified as having higher risk score – that is complaints:

- approaching or exceeding corporate resolution deadline – e.g. are unresolved at 21 days or over category.
- have gone to review stage.
- have been referred to the LGO.
- have a reputational, service or financial risk to the service / council.
- Actions agreed as part of complaint resolution – list of complaints where i-Casework shows there are actions outstanding.
- Profile of complaints across service teams.

It is recommended that service managers also report on learning from analysis of trends and root causes of complaints received and key practice and service development actions that teams are putting in place as a result of customer feedback.



Start



Monitoring and reporting on complaints by Heads of Service / Leadership Teams (LTs)

The Complaints Team will produce quarterly reports to be reviewed by Head's of Service and LTs Head's of Service report to include the following elements:

- Risk issues – including action that are outstanding.
- Issues that need to be reviewed at MT level – e.g. policy issues.
- Summary of practice and service developments achieved as a result of feedback.

Complaints Reviews by EMT

There will be an Annual Report to EMT that will include:

An analysis and overview of volume, subject and performance in handling of

- corporate complaints and other feedback for the whole authority over the previous year.
- a report of social care complaints dealt with under statutory procedures.
- an analysis of LGO referrals (timing of review of Annual report may be set to be at the same time as Annual Letter of LGO).
a report on service developments in terms of:
 - Developments in complaints handling practice and performance over the year.
 - Summary and overview of key service improvements resulting from feedback

- Plans for practice and service development over forthcoming year.

Scrutiny Board and Publication on web and in person access points

Summary of Annual Report to EMT.

A separate report to customers, summarising the EMT report will be published in the council Website.



Start



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SHEFFIELD CITY COUNCIL

POLICY AND GUIDANCE FOR STAFF ON UNREASONABLE AND UNREASONABLY PERSISTENT COMPLAINANT BEHAVIOUR

Effective from 01 February 2010

Sheffield *where everyone matters*



POLICY ON UNREASONABLE AND UNREASONABLY PERSISTENT COMPLAINANT BEHAVIOUR

The Council is committed to dealing with all complaints fairly and impartially and to providing a high quality service to those who make them. As part of this service the Council would not normally limit the contact complainants have with Council offices or staff. However there are a small number of complainants who, because of their behaviour and/or the frequency or nature of their contacts with the Council, hinder our consideration of their complaint(s) or the Services we provide to them or other people.

We refer to such behaviour as 'unreasonable' and/or 'unreasonably persistent' complainant behaviour.

The decision to restrict access to Council offices/staff will be taken as a last resort by the relevant Head of Service and will normally follow prior warning to the complainant. Any restrictions imposed will be appropriate and proportionate. They will also make appropriate allowance for any equality and diversity related issues such as cultural barriers, language barriers, disability barriers (including learning disabilities), etc. The options we are most likely to consider are:

- Requesting contact in a particular form (e.g. letter only);
- Requiring contact to take place with a named officer;
- Restricting telephone calls to specified days and times; and/or
- Asking the customer/complainant to enter into an agreement about their future contacts with us.

In all cases where we decide to treat someone behaviour as unreasonable or unreasonably persistent we will write to tell the complainant why we believe his or her behaviour falls into that category, what action we are taking and the duration of that action. We will also tell them how they can challenge the decision if they disagree with it.

Where a complainant persists in communicating with us about matters that have already been responded to and that have exhausted local complaint/appeal procedures we may decide not to enter into any further contact relating to those matters with the complainant. In such cases, we will read all correspondence from the complainant, but unless there is any new information we will simply acknowledge it and place it on file or ultimately we may inform the complainant that future correspondence will be read and placed on file with no acknowledgement.

POLICY ON UNREASONABLE AND UNREASONABLY PERSISTENT COMPLAINANT BEHAVIOUR – GUIDANCE FOR STAFF

1.0 Unreasonable and unreasonably persistent complainant behaviour

The policy covers ‘unreasonable behaviour’ which may include one or two isolated incidents, as well as ‘unreasonably persistent behaviour’, which is usually an accumulation of incidents or behaviour over a longer period.

It is important to differentiate between ‘persistent’ and ‘unreasonably persistent’ complainants. Arguably, many people are ‘persistent’ on the entirely reasonable basis that they are pursuing a justified complaint and they feel the Council has not dealt with their complaint properly.

‘Unreasonable’ and ‘Unreasonably persistent’ complainant behaviour may stem from justified complaints or grievances but the complainant may be pursuing them in inappropriate ways, or they may be intent on pursuing complaints which appear to have no substance or which have already been investigated and determined. Their contacts with the Council may be amicable but still place very heavy demands on staff time, or they may be very emotionally charged and distressing for all involved.

Raising legitimate queries or criticisms of a complaints procedure as it progresses, for example if agreed timescales are not met, should not in itself lead to someone’s behaviour being regarded as unreasonably persistent. Similarly, the fact that a complainant is unhappy with the outcome of a complaint and seeks to challenge it once, or more than once, should not necessarily cause him or her behaviour to be labelled unreasonably persistent.

Sometimes the situation between a Council and a complainant can escalate and the behaviour moves from being unreasonable and unreasonably persistent to behaviour which is unacceptable, for example, abusive, offensive or threatening. The Council has separate procedures for dealing with such behaviour and protecting staff from harassment and harm – please refer to Violence at Work Policy and associated guidance.

In addition, unreasonable behaviour can also encompass the use of language which is racist, sexist, homophobic, ageist, discriminatory to the disabled, discriminatory to religious beliefs, etc. In such instances legal advice should be sought on how best to deal with the complaint. This includes the potential option of asking the complainant to resubmit their complaint without the inclusion of such views/language before the complaint will be dealt with.

2.0 Unreasonable and unreasonably persistent complainant behaviour and actions

The following is a list of examples of the main kinds of 'trigger' actions and behaviours which may cause the policy to be invoked. It is not an exhaustive list.

- Refusing to specify the grounds of a complaint, despite offers of assistance with this from Council staff;
- Refusing to co-operate with the complaints investigation process while still wishing their complaint to be resolved;
- Refusing to accept that issues are not within the remit of a complaints procedure despite having been provided with information about the procedure's scope;
- Insisting on the complaint being dealt with in ways which are incompatible with the adopted complaints procedure or with good practice;
- Making what appears to be groundless complaints about the staff dealing with the complaints, and seeking to have them replaced;
- Changing the basis of the complaint as the investigation proceeds and/or denying statements he or she made at an earlier stage;
- Introducing trivial or irrelevant new information which the complainant expects to be taken into account and commented on, or raising large numbers of detailed but unimportant questions and insisting they are all fully answered;
- Electronically recording meetings and conversations without the prior knowledge and consent of the other persons involved;
- Adopting a 'scattergun' approach; pursuing a complaint or complaints with the authority and, at the same time, with a Member of parliament/a councillor/the Council's independent auditor/the Standards Board/local police/solicitors/the Ombudsman;
- Making unnecessarily excessive demands on the time and resources of staff whilst a complaint is being looked into, by for example excessive telephoning or sending e-mails to numerous council staff, writing lengthy complex letters every few days and expecting immediate responses;
- Submitting repeat complaints, after complaint processes have been completed, essentially about the same issues, with additions/variations which the complainant insists make these 'new' complaints which should be put through the full complaints procedure;
- Refusing to accept the decision – repeatedly arguing the point and complaining about the decision;
- Complaints which involve discriminatory and/or offensive language/views of a racist, sexist, homophobic, ageist, anti disabled, anti religious, etc. nature;
- Combinations of some or all of these.

3.0 Considerations prior to taking action under the policy

Different consideration will apply depending on whether the investigation of the complaint is ongoing or whether it has been concluded. Where an investigation has been concluded and the complainant simply refuses to take no for an answer the Council has the option of ending further communication about the matter with the complainant, and where appropriate referring the complaint to the Local Government Ombudsman. However, where the complaint is ongoing there needs to be some continuing contact with the complainant.

The decision to designate someone's behaviour as unreasonable or unreasonably persistent is onerous and could have serious consequences for the individual. Before deciding whether the policy should be applied you must be satisfied that:

- The complaint is being or has been investigated properly;
- Any decision reached on it is the right one;
- Communications with the complainant have been adequate; and the complainant is not now providing any significant new information that might affect the Council's view on the complaint.
- Reasonable adjustments for Equality and Diversity issues have been fully taken into account and there is no reason to believe that cultural, language, or disability (including learning disability) barriers still exist which excuse the behaviour of the complainant or still require allowance to be made for the complainant

If you are satisfied on these points you should consider whether further action is necessary prior to taking the decision to designate the complainant's behaviour as unreasonable or unreasonably persistent. Formally invoking the policy should only be considered if all other possibilities and avenues have been exhausted. Examples of further action might be:

- One final letter to the complainant from an officer of appropriate seniority confirming that the matter has exhausted local complaint procedures and reminding them of possible external avenues via which they can pursue the matter e.g. Local Government Ombudsman.
- If no meeting has taken place between officer(s) and the complainant and provided there is nothing known about the complainant which would make this unadvisable, consider offering the complainant a meeting with an officer of appropriate seniority. Sometimes such meetings can dispel misunderstandings and move matters towards a resolution.
- If more than one service is being contacted by the complainant, consider:
 - Setting up a strategy meeting to agree a cross-service approach; and
 - Designating a key officer to co-ordinate the Council's response(s).
- If the complainant has special needs (e.g. language needs, learning disability, etc.), an interpreter (including British Sign Language) and/or advocate might be helpful to both parties; consider offering to help the complainant find an independent one.

Before applying any restrictions give the complainant a warning in writing that if his/her actions continue the Council may decide to treat his/her behaviour as unreasonable or unreasonably persistent and explain why. It is important that the

individual complainant is given an opportunity to modify their behaviour before any restrictions are applied.

4.0 Options for action

The precise nature of the action you decide to take in relation to unreasonable or unreasonably persistent complainant behaviour should be appropriate and proportionate to the nature and frequency of the complainant's contacts with the Council at the time.

The following is a list of possible options for managing a complainant's involvement with the Council from which one or more might be chosen and applied, if warranted. Again the list is not exhaustive and local factors will be relevant in deciding what might be appropriate action.

- Placing time limits on telephone conversations and personal contacts;
- Restricting the number of telephone calls that will be taken (e.g. one call on one specified morning/afternoon of any week);
- Limiting the complainant to one medium of contact (telephone, letter, e-mail etc) and/or requiring the complainant to communicate only with one named member of staff;
- Drawing up a signed agreement with the complainant which sets out a code of behaviour for the parties involved if the Council is to continue processing the complaint;
- Requiring any personal contacts to take place in the presence of a witness;
- Refusing to register and process further complaints about the same matter;
- Where a decision on a complaint has been made, providing the complainant with acknowledgement only of letters, faxes, or e-mails, or ultimately informing the complainant that future correspondence will be read and placed on the file but not acknowledged. A designated officer should be identified who will read future correspondence.
- Requesting legal advice on how best to deal with complaints which involve language/views of a racist, sexist, homophobic, ageist, anti disabled, anti religious or other discriminatory nature. This includes the potential option of asking the complainant to resubmit their complaint without the inclusion of such views/language before the complaint will be dealt with.

It is important to ensure that any contact restrictions put in place do not prevent the individual concerned from requesting services on a day to day basis.

5.0 Invoking the Policy

The relevant Head of Service will convene a meeting to consider the matter. Where the Head of Service is satisfied that the complainant has demonstrated unreasonable or unreasonably persistent behaviour and after a discussion with the relevant service manager and complaint managers that all other avenues have been explored, the Head of Service will determine what action to take.

If the unreasonable or unreasonably persistent behaviour is affecting more than one service each relevant Head of Service will need to be consulted about whether the restrictions should be extended to their service. Agreement should be reached as to who will take the lead and communicate matters to the complainant.

The Head of Service or agreed lead Head of Service will write to the complainant informing him/her of:

- the decision that has been taken;
- what it means for his or her contacts with the Council;
- how long any restrictions will last and when these will next be reviewed; and
- their right to challenge the decision and have the decision reviewed by a more senior officer within 28 days of the date of the original decision letter.

The letter should enclose a copy of the Council's policy.

6.0 Records of Decisions

It is important to keep adequate records of all decisions that are taken, for example:

- When a decision is taken not to apply the policy when a member of staff asks for this to be done, or to make an exception to the policy once it has been applied; or
- When a decision is taken not to progress a further complaint from a complainant whose behaviour has been deemed to be unreasonable or unreasonably persistent under this policy through its complaints procedure for any reason; or
- When a decision is taken not to respond to further correspondence, make sure any further correspondence is checked to pick up any significant new information.

7.0 Challenge/Review of Designation

Where a complainant wishes to challenge the decision to designate his or her behaviour as unreasonable or unreasonably persistent, the decision should be reviewed by an officer senior to the person who made the original decision. A letter should be sent to the complainant advising of the outcome and, if restrictions are to continue to be applied, when these will next be reviewed.

The designation and any restrictions should be kept under review. When a complainant whose behaviour has been deemed to be unreasonable and unreasonably persistent under this policy make complaints about new issues these should be treated on their merits, and decisions will need to be taken on whether any restrictions which have been applied before are still appropriate and necessary.

Arrangements should be in place to check on the complainant's contact and behaviour and review the designation and restrictions at least once every 12 months.

A review meeting should be convened by the relevant/lead Head of Service to consider whether the designation and restrictions placed on the complainant's contacts are still necessary. Has the complainant demonstrated a more reasonable approach and adjusted their behaviour sufficiently to warrant the withdrawal of designation and the cancellation of the restrictions placed on their contacts?

The relevant/lead Head of Service will write to the complainant informing him/her of the outcome of the review. If the decision is to continue to apply the designation and

contact restrictions for a further period the complainant will be offered the right to challenge the decision and have the decision reviewed by a more senior officer within 28 days of the date of the review decision letter.

6. Caring Contractor Scheme

The South Yorkshire Caring Contractor Scheme

AGREEMENT

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ALL MEMBER ORGANISATIONS in the

SOUTH YORKSHIRE CARING CONTRACTOR SCHEME

shall ...

'ensure that all employees actively pursue and promote an informed, co-ordinated and total-care approach towards those persons, businesses, highway users or other organisations who may be affected by our works in the highway either before, during or on completion of those works.'

The main objective of the scheme is to introduce a concept of additional care values to the works undertaken on the highway and these are shown below :

- **Adequate signing and guarding of the works with particular attention paid to the needs of the disabled, children and people with prams.**
- **Display Information boards detailing contact address and telephone number.**
- **Provide advance information to affected frontagers and give details of the programme duration and advise necessary amendments as appropriate.**
- **Maintain access and egress for affected frontagers as far as reasonably practical.**
- **Keep fumes, noise, dust and other noxious substances to a minimum.**
- **Take adequate precautions to protect all services, on-street equipment and cellars.**
- **Be polite and courteous to the public and deal with complaints positively and quickly.**
- **Maintain a safe, clean and tidy site including well maintained plant and acceptably dressed operatives.**
- **Regularly assess positioning of plant, equipment and materials on site in consideration of highway users and frontagers.**
- **Achieve the highest possible quality of reinstatement appropriate to the surrounding environment.**

Conditions attached to this agreement ...

- 1 *Employing Organisations* Employing Organisations are those organisations who employ either a direct labour force and /or main contractors and their sub-contractors for the purposes of executing roadworks or streetworks. The primary employing organisations to this agreement represent the four Highway Authorities of South Yorkshire and the Major Statutory Undertakers.
- 2.1 *Member Organisations.* Member organisations shall be those employed by an employing organisation and be entitled to become members of the Caring Contractor Scheme. It is recognised that some member organisations are in fact directly employed labour forces and are therefore to be classed as Contractors under this agreement.
- 2.2 Sub-contractors shall only be allowed to become member organisations if their employing organisation consider the sub-contractor to have a long term presence on an ongoing basis.
- 3.1 *Signatories* All signatories to this agreement commit their organisation to this agreement and to the main objectives herein.
- 3.2 Generally, a senior representative from each employing organisation and one from each member organisation are at liberty to sign this agreement provided that the signature is placed with the authority and on behalf of that organisation.
- 4 *Members leaving the Scheme.* Any member organisation shall be at liberty to leave this voluntary scheme and on doing so should give written confirmation to each member organisation.
- 5 *Use of Logos* The South Yorkshire Caring Contractor logo/s shall only be displayed by current member organisations. If an organisation is to leave the scheme then all logos should be removed from use and their use prevented by that or any other organisation.
- 6 *Assessment Period.* The assessment period shall be the financial year commencing April each year.
- 7.1 *Assessment of Performance.* A Contractor shall be measured against the criteria set out in the assessment sheet attached to this agreement.
- 7.2 Each Highway Authority shall during each year, carry out an assessment of the performance of each member organisation for compliance of works within its own district or borough boundary.
- 7.3 Data shall be recorded over each quarter and an average calculated for that quarter. Over a 12 month period the average performance of each member organisation shall be

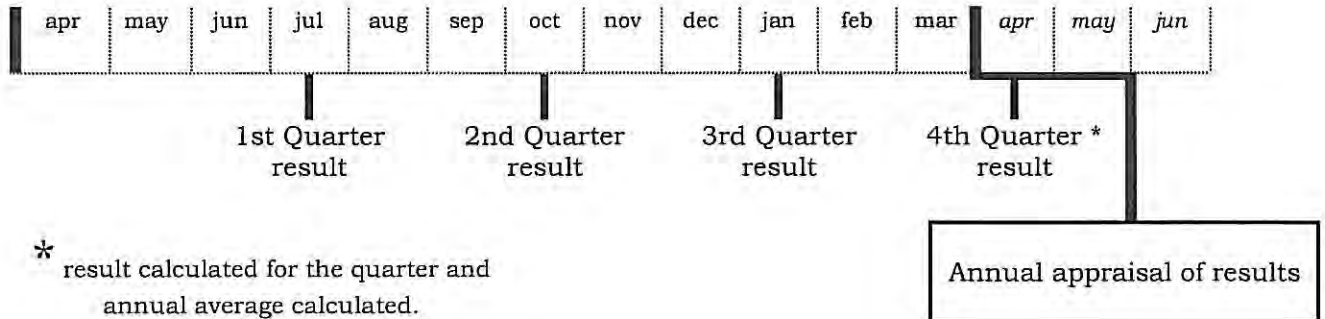
calculated and an annual appraisal meeting held.

8.1 *Provision of Results.*

For every complete quarter, Highway Authorities shall during the following month, distribute the average result for that quarter.

8.2

At the end of the financial year, each Highway Authority shall write to each employing organisation confirming the results for the year of each member organisation for works undertaken within their district or borough boundary.



* result calculated for the quarter and annual average calculated.

9.1 *Restrictions on Highway Authorities.*

Highway Authorities shall not distribute results to anyone other than employing organisations, shall not use them in league tables or use them in any other way. Each employing organisation shall receive results for all member organisations employed by them. Results shall be provided with a comparison with an 'all-contractor' average.

9.2

In order to maintain the integrity of the results and remove any bias, all sites assessed in this scheme shall be chosen from each Highway Authority's randomly selected stage 1 and 2 RASWA inspection schedules. Inspectors may select sites which comprise the full list or part list, for that day. Selected sites should be highlighted before leaving the office. (This will assist Highway Inspectors by allowing them to select sites which are close to or within the area they are to visit that day.) Highway Inspectors shall record a result only where works are in progress. A 'no-result' may be recorded against any scheduled site where no measurable works are in progress or in place. Inspectors shall not select an alternative site from the schedule but move to the next highlighted site.

9.3

All member organisations have the right to have a representative present during the selection process for the site locations and/or during the course of inspections providing that arrangements suit both parties and that the Highway Inspections are not delayed to any degree.

9.4

Chapter 8 information may be provided as a separate performance indicator for information only and be provided at such frequency and format as agreed between those parties expressing an interest. A comparison between the contractor's individual performance and the 'all-contractor'

average for the current year to date should be made wherever possible.

- 9.5 Highway Authorities may report results to their committees pertinent to their district or borough only. Reports shall be in a format where member organisations are represented as anonymous code letters and compared against the "all contractor" average. Officers may during presentation of committee reports indicate which code letter represents their highway authority.
- 10.1 *Combining of results for a South Yorkshire wide result.* In order to determine a South Yorkshire result for each member organisation it shall be necessary to combine the average annual result from each Highway Authority for each member organisation.
- 10.2 The result from the first year shall be used as a bench mark for any improvement in performance in the second year and shall then be monitored as trend information upon which to act.
- 11 *Schedule of sites inspected.* Sites where an inspection has taken place shall be recorded and a performance result calculated. Each site shall be included in a schedule of sites to be provided by the Highway Authority to the employing organisations each quarter.

THE SOUTH YORKSHIRE CARING CONTRACTOR SCHEME - AGREEMENT

Having read this agreement and by the authority vested in me by my employing organisation, I am satisfied to commit my organisation to support and abide by this agreement by placing my signature below and in so doing become a Member Organisation in The South Yorkshire Caring Contractor Scheme.

HIGHWAY AUTHORITIES and their CONTRACTORS ...

P. STUBBS, HEAD OF TRANSPORTATION AND POLICY UNIT, SHEFFIELD METROPOLITAN DISTRICT COUNCIL.	J. CHARLTON, ASSISTANT DIRECTOR, WORKS DEPARTMENT, SHEFFIELD METROPOLITAN DISTRICT COUNCIL.	HIGHWAY DLO.
A. L. DINSDALE, ACTING HEAD OF HIGHWAYS AND ENGINEERING, BARKSLEY METROPOLITAN BOROUGH COUNCIL.	A. HANKINSON COMMERCIAL MANAGER, BARKSLEY METROPOLITAN BOROUGH COUNCIL.	HIGHWAY DLO. ALSO CONTRACTORS TO YORKSHIRE CABLE COMMUNICATIONS LTD.
C. S. B. WARD, HEAD OF HIGHWAYS AND TRANSPORTATION, ROTHERHAM METROPOLITAN BOROUGH COUNCIL.	P. SIMPSON, GENERAL MANAGER ENGINEERING SERVICES, ROTHERHAM METROPOLITAN BOROUGH COUNCIL.	HIGHWAY DLO.
R. S. EYRE BOROUGH ENGINEER, DONCASTER METROPOLITAN BOROUGH COUNCIL.	R. FRANCE ENGINEERING WORKS MANAGER DONCASTER METROPOLITAN BOROUGH COUNCIL.	HIGHWAY DLO.

UTILITIES and their CONTRACTORS ...

M. ROBERTS, NETWORK MAINTENANCE MANAGER, BG TRANSCO.	J. BIRMINGHAM, MANAGING DIRECTOR, THOMAS BIRMINGHAM (CONTRACTORS) LIMITED.	CONTRACTOR
P. TRICKETT, N.E.D. PROJECTS MANAGER, YORKSHIRE ELECTRICITY GROUP Plc. (and on behalf of the UTILITY DLO)	R. MARSON GENERAL MANAGER ROBERTS (CGT) LIMITED.	CONTRACTOR
R. NICOL, DIRECTOR OF NETWORK DELIVERY, YORKSHIRE CABLE COMMUNICATIONS LIMITED.	J. SHEPPARD DIRECTOR OF ENGINEERING MURPHY LIMITED.	CONTRACTOR
D. ANDERSON, SENIOR CONTRACTS MANAGER, BRITISH TELECOM.	D. WARDMAN, OPERATIONS DIRECTOR M. P. BURKE Plc.	CONTRACTOR
A. JONES CIVILS CONTRACTSMANAGER, BRITISH TELECOM.	J. HANRAHAN, MANAGING DIRECTOR, HANCOM LIMITED.	CONTRACTOR
J. SPAIN <i>Al.</i> GENERAL MANAGER CAPITAL INVESTMENTS, YORKSHIRE WATER SERVICES LTD..	J. STACK, REGIONAL MANAGER, J. MURPHY LIMITED.	CONTRACTOR
D. COLWELL CONTRACTS MANAGER YORKSHIRE WATER SERVICES LTD..	S. KEOGH, OPERATIONS DIRECTOR, ARM UTILITY SERVICES LIMITED.	CONTRACTOR ALSO CONTRACTORS TO YORKSHIRE WATER SERVICES LTD..
	M. DURCAN, REGIONAL MANAGER, ARM UTILITY SERVICES LIMITED.	CONTRACTOR
	P. PARKIN, YORKSHIRE PIPELINE SERVICES.	UTILITY DLO
	D. KELLY DIRECTOR OF WATER SERVICES KENTON UTILITIES & DEVELOPMENT LIMITED	CONTRACTOR

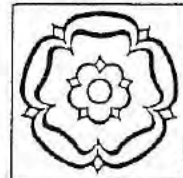
and WITNESSED BY ...

The Lord Mayor of Sheffield
Councillor Mr. P. Price

The Worshipful Mayor of Rotherham
Councillor Mr. P. Wardle

The Worshipful Mayoress of Doncaster
Councillor Mrs. D. Layton

Chair of the Highways and
Transportation Committee of
Barnsley
Councillor Mr. M. Hall



All signatures being placed to this South Yorkshire Caring Contractor Agreement on this Thirteenth day of May, Nineteen Hundred and Ninety Seven

Conditions attached to this agreement ...

- 1 *Employing Organisations* Employing Organisations are those organisations who employ either a direct labour force and /or main contractors and their sub-contractors for the purposes of executing roadworks or streetworks. The primary employing organisations to this agreement represent the four Highway Authorities of South Yorkshire and the Major Statutory Undertakers.
- 2.1 *Member Organisations.* Member organisations shall be those employed by an employing organisation and be entitled to become members of the Caring Contractor Scheme. It is recognised that some member organisations are in fact directly employed labour forces and are therefore to be classed as Contractors under this agreement.
- 2.2 Sub-contractors shall only be allowed to become member organisations if their employing organisation consider the sub-contractor to have a long term presence on an ongoing basis.
- 3.1 *Signatories* All signatories to this agreement commit their organisation to this agreement and to the main objectives herein.
- 3.2 Generally, a senior representative from each employing organisation and one from each member organisation are at liberty to sign this agreement provided that the signature is placed with the authority and on behalf of that organisation.
- 4 *Members leaving the Scheme.* Any member organisation shall be at liberty to leave this voluntary scheme and on doing so should give written confirmation to each member organisation.
- 5 *Use of Logos* The South Yorkshire Caring Contractor logo/s shall only be displayed by current member organisations. If an organisation is to leave the scheme then all logos should be removed from use and their use prevented by that or any other organisation.
- 6 *Assessment Period.* The assessment period shall be the financial year commencing April each year.
- 7.1 *Assessment of Performance.* A Contractor shall be measured against the criteria set out in the assessment sheet attached to this agreement.
- 7.2 Each Highway Authority shall during each year, carry out an assessment of the performance of each member organisation for compliance of works within its own district or borough boundary.
- 7.3 Data shall be recorded over each quarter and an average calculated for that quarter. Over a 12 month period the average performance of each member organisation shall be calculated and an annual appraisal meeting held.

7. Authority Business Continuity Plan

Sheffield City Council

Corporate Business Continuity Plan

Version No	03
Date	July 2009
Author	[REDACTED]
Signed off by	
Date of Review	July 2010
Date last tested	25 th October, 2008 Summer 2009

Produced by:

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1. INTRODUCTION

1.3 Aims

This document is the Corporate Business Continuity Plan for Sheffield City Council. It describes how an emergency incident that threatens to disrupt 'Business As Usual' operation of the Council will be managed. **It should be read in conjunction with the Business Continuity Plans for each Directorate of the Council, Service Area Business Continuity Plans and relevant partner organisations' Business Continuity Plans.**

1.3.1 The aim of this plan is to ensure that the services and functions of Sheffield City Council are restored as quickly as possible, following an incident of any kind that interrupts normal operation.

1.2 Objectives

- To set out the SCC Business Continuity Management Policy (**Appendix A**)
- To set out the operating framework for Corporate Business Continuity
- To establish the priorities for Business Recovery
- To set out Business Continuity roles and responsibilities
- To describe the procedures for notification, activation and operation during an incident

1.3 Strategy

The City Council will continue to develop capability to respond to a Business Continuity incident. This work is being conducted in a proportionate manner that takes account of immediate service provision priorities.

1.3.1 Work on business continuity will take into account the British Standard for Business Continuity BS 25999

1.3.2 Reports to EMT in October 2005 and May 2007 approved the business continuity policy and structure. Following a report to EMT in October 2005 a Corporate Business Continuity Management Group, with members from each directorate, was set up to progress business continuity planning. The group continues to meet on a regular basis. (See **Appendix B**)

1.3.3 This plan complies with the Civil Contingencies Act 2004 (Regulations 2005) and is informed by the South Yorkshire Community Risk Register.

1.4 Plan Development, Training & Exercising

1.4.1 The process of plan development will be accompanied by a regime of general awareness raising and specialist training.

1.4.2 To ensure that business continuity is well embedded throughout the authority as a whole an ongoing programme of training and exercising will be provided.

1.4.3 Training and exercising will be provided to ensure that all personnel with a specific role within the business continuity plans are familiar with the role they will be undertaking.

1.5 **Maintenance**

- 1.5.1 This plan will be subject to routine review on an annual basis. Changes to structure and any lessons learnt from exercises, training and incidents will be incorporated into the plan.

- 1.5.2 All service level and directorate business continuity plans will be reviewed on an annual basis. Service level plans will be approved and signed off by the relevant Head of Service. Annual reports will be produced for each Directorate Management Team and an annual report for EMT will report on progress made during the year.

2. SERVICE CRITICAL ACTIVITIES

2.1 Prioritisation of Services

Dealing with an incident that requires the activation of the Corporate Business Continuity plan would pose service continuity challenges that may require a full re-assessment of current prioritisation of services.

- 2.1.1 This plan lists a range of key/critical services, identified as part of the wider directorate and service level business continuity planning that should be maintained, if possible. The need of services will however be determined by the severity and nature of the incident and the depletion it creates in key areas.

2.2 Major Emergencies

The response to a major emergency may require the involvement of a wide range of service areas. At an early stage in any incident it will be important to assess which services will be required as part of the emergency response and to ensure that these services are able to operate as soon as possible. A list of a range of services that **may** be required in a major emergency is listed at **Appendix C**.

- 2.2.1 Arrangements for operation and management of emergency response activities are documented in the **Council's Scheme for Major Civil Emergencies** and other specific emergency plans.

2.3 Critical Services

A list of key/critical services are identified at **Appendix D1**.

This list provides guidance to assist in assessing the need of services determined by the severity and nature of the incident and the depletion it creates in key areas. This is not a comprehensive list and other critical services may need to be identified dependent on the type of incident.

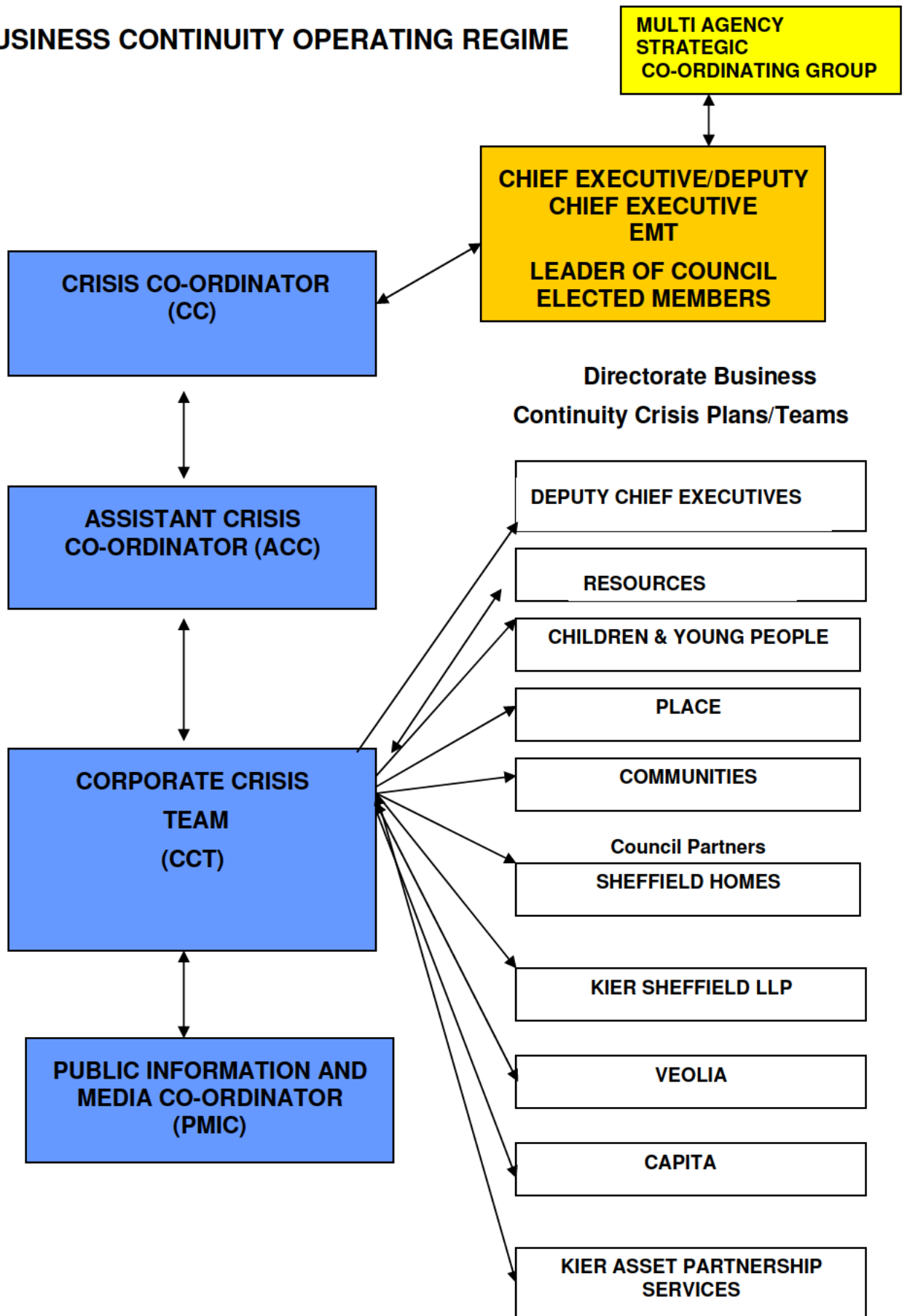
2.4 Desirable Services

Desirable services are listed at **Appendix D2**

This list provides guidance to assist in assessing the need of services determined by the severity and nature of the incident and the depletion it creates in key areas. This is not a comprehensive list and other services may need to be identified dependent on the type of incident.

- 2.5 A full list of service level plans is available in each Directorate Business Continuity Plan.

3. BUSINESS CONTINUITY OPERATING REGIME



4. ROLES AND RESPONSIBILITIES

4.1 Corporate Crisis Co-ordinator (CC)

The role of the Corporate Business Continuity Crisis Co-ordinator is to provide strategic control and management of the overall Business Continuity effort in the event of an incident. The CC will have to dynamically manage the situation as it develops and be robust and able to react quickly to situation changes.

4.1.1 The CC will lead the corporate response to a Business Continuity event, supported by the Assistant Crisis Co-ordinator, and has the responsibility to:

- Convene the Corporate Crisis Team
- Inform the Assistant Crisis Co-ordinator
- Inform the Corporate Business Continuity Management Group
- Activate the Corporate Business Continuity Plan
- Chair meetings
- Provide strategic direction and leadership
- Lead recovery activities post event
- See Action Card at **Appendix E1**

4.1.2 The person designated as the Crisis Co-ordinator will be a member of the Executive Management Team. The role will be assigned dependent on the type of incident.

4.2 Assistant Corporate Crisis Co-ordinator (ACC)

4.2.1 The Assistant Crisis Co-ordinator will assist the Crisis Co-ordinator and will also be responsible for co-ordinating the work of the Directorate Business Continuity Crisis Teams. **The person designated to this role will be a member of Senior Management.** The role will be assigned dependent on the type of incident.

4.2.2 The ACC has the responsibility to:

- Liaise with Directorate Crisis Teams
- Ensure Directorate Level plans are activated as required
- Assist the Crisis Co-ordinator
- Produce situation reports as required
- Ensure a two way flow of information between Directorates and Corporate level plans
- See Action Card at **Appendix E2**

4.3 Corporate Crisis Team

4.3.1 Whilst the majority of decisions and actions will be taken by managers and teams at directorate or service level, the **Corporate Crisis Team is responsible for:**

- providing corporate leadership and direction to Directorate Crisis Teams
- monitoring progress and ensuring recovery time objectives are met
- adjusting recovery time objectives, where circumstances make this necessary (for example, if a particular function is required as part of the response to the incident)
- prioritising premises, staff and resources
- managing media information

- providing formal updates or situation reports to the Chief Executive/DCEX and EMT as required (see **Appendix F**)

4.3.2 The CCT will consist of the following posts. Others may be invited to attend dependent on the incident.

- Crisis Co-ordinator (Chair)
- Assistant Crisis Co-ordinator
- Public Information and Media Co-ordinator
- Deputy Chief Executive's Liaison Officer
- Place Liaison Officer
- Communities Liaison Officer
- Children and Young People Liaison Officer
- Partner Organisation Liaison Officers (as appropriate)
- Others as appropriate

4.3.3 Details of team members are listed at **Appendix G**.

4.3.4 In the event of an incident requiring the activation of this plan the CCT will be based in a meeting room in the Town Hall or other nominated location.

4.4 Directorate Crisis Teams

4.4.1 Each Directorate and partner organisation (e.g. Sheffield Homes) will operate a Directorate Crisis Team, which will be led by a Directorate Lead Officer and supported by a Directorate Liaison Officer . (See Flow Chart at **Appendix H**)

4.4.2 Directorate Teams will:

- Provide situation reports to the Corporate Crisis Team
- Identify depleted service areas which need support
- Provide a focal point for specific directorate queries
- Liaise with specific partners

4.4.3 Role of Directorate Lead Officer

- Chair meetings of Directorate Crisis Team
- Produce situation reports of impact on service areas and directorate

4.4.4 Role of Directorate Liaison Officer

- Attend meetings of Directorate Crisis Team
- Attend meetings of Corporate Crisis Team
- Provide two way flow of information/situation reports between Corporate Team and Directorate Team

4.4.5 The Directorate Lead Officers and Directorate Liaison Officers are listed at **Appendix I**.

4.5 Multi Agency Command and Control

A business continuity event requiring the activation of the Corporate Business Continuity plan may require the operation of a number of multi agency command and control groups at Local Resilience Forum and Regional level. The CC will deploy a member of Executive Management Team to represent the City Council at any such location if required.

4.6 Premises/Building Accommodation

The Corporate Crisis Team may be required to take responsibility for, and manage, the accommodation needs of those Directorates/Service areas requiring 'Corporate Recovery' which cannot be met under Directorate and/or Service Business Continuity Plans.

4.7 IT and Communications

The Corporate Crisis Team will ensure that IT and telephony services are provided and will provide direction on prioritisation of restoration efforts, in line with the IT Business Continuity Plan.

4.8 Public Information

4.8.1 The City Council recognises that keeping the public informed about the overall situation (supporting partner agency campaigns where appropriate) and specific changes to levels of service provision is integral to our response.

4.8.2 The CCT will include a Public Information and Media Co-ordinator who will ensure that any methods normally used by the public to seek information about City Council services are provided with appropriate updates. Where necessary, specific media releases will also be issued.

4.8.3 It is expected that the City Council will be asked to contribute frequent joint media releases with external partners. There may also be a requirement for a representative to attend a Media Group established by the Strategic Co-ordinating Group.

4.9 Suppliers and contractors

Management of supplier relationships does not alter in an emergency, and will remain with the contracting service area/directorate.

4.10 VIP visits

VIP visits can present opportunities for raising awareness, reinforcing messages of thanks and speeding up some aspects of recovery. Local MPs and other dignitaries may make frequent visits and request regular updates. Consideration should be given to the following:

- Redeployment of essential resources
- Involvement of civic leaders
- Opportunity for positive media messages
- Security implications

4.11 Elected Members

Elected Members are heavily involved with community organisations, schools, on-going support to the affected community. Consideration should be given to the following:

- Role as focus for community consultation
- Role in assisting with the media
- Role during VIP visits
- Liaising with other elected representatives (MPs and MEPs)

5. NOTIFICATION AND ACTIVATION

5.1 Notification

- 5.1.1 Notification of an incident may come from a variety of sources and any member of staff may potentially be first to become aware of an incident and may activate a service level or directorate level business continuity plan. At this stage consideration should be given to invoking an Incident Management Plan which gives guidance in the initial stages of an incident before activation of business continuity plans.
- 5.1.2 The officer conducting the preliminary assessment should:
- Ensure relevant emergency procedures are followed (e.g. building evacuation)
 - Gather as much information as is quickly available, without putting any member of staff at risk
 - Provide a detailed and accurate Situation Report to their line manager
- 5.1.3 If, in the opinion of the officer undertaking the Preliminary Assessment, the incident can be handled within the scope of the plans they are responsible for, the incident will not require activation of the Business Continuity Plan.
- 5.1.4 Many incidents that occur will often affect only a single Directorate and these will be managed by that Directorate's BC team, using service level and/or Directorate level Business Continuity Plans.
- 5.1.5 The incident will be escalated if the emergency cannot be managed within the scope of a directorate or service area business continuity plan. A chart illustrating the overall corporate business continuity structure is at **Appendix J**.
- 5.1.6 The Emergency Planning Team will activate the Scheme for Major Civil Emergencies and the Emergency Control Centre if the severity or complexity of an incident requires them to co-ordinate and control the Council's response to an emergency, or if a major emergency is declared.
- 5.1.7 The Emergency Planning Team will inform the Crisis Co-ordinator and/or Deputy Crisis Co-ordinator if an incident affects multiple directorates and/or there is a need to co-ordinate across directorates.

5.2 Activation of Corporate Business Continuity Plan

The Plan can be activated in several ways:

- On activation of the Scheme for Major Civil Emergencies and/or the Emergency Control Centre.
(EPT will inform EMT/Crisis Co-ordinator and/or the nominated deputy who will determine whether the Corporate Business Continuity Plan should be activated, either immediately, or following a meeting of the CCT convened to make a decision).
- On the declaration of a Major Emergency.

(The Emergency Planning Team will formally notify the Crisis Co-ordinator who will call a meeting, if required, of the CCT to make a decision on activation of the plan).

- Following a meeting of the Corporate Crisis Team.
- At the request of a Directorate Business Continuity Lead Officer or Liaison Officer.
- At the request of a Directorate Business Continuity Team

5.3 Activation of Corporate Crisis Team

5.3.1 When notification of an incident is received by either the CC and/or the Assistant CC that may require the activation of the Corporate Plan an urgent meeting of the CCT will be convened to make a decision on whether to activate the Corporate Business Continuity plan.

5.3.2 The Assistant Crisis Co-ordinator will:

- notify the members of the Corporate Crisis Team
- provide a description of the event
- request that they assemble at a nominated location, or request their participation via a conference call

5.3.3 The CCT will:

- determine if the severity of the impact requires implementation of the Corporate Business Continuity Plan
- identify and assess the context of the incident (this might include the impact on elections, major public events, public enquiries, etc)
- establish, with guidance from the Emergency Planning Team any priority emergency response capabilities required
- determine recovery objectives including priorities, recovery strategies and action plans

5.4 Activation of Directorate Crisis Teams

5.4.1 Directorate Business Continuity Crisis Teams/Plans can be invoked:

- to deal with an incident within their own directorate or
- following activation of the Corporate Business Continuity Plan

5.4.2 When notified by the Assistant CC the Directorate Liaison Officers should:

- attend the CCT meeting at a nominated location
- alert their Directorate Business Continuity Lead Officer
- ensure Directorate Business Continuity Crisis Teams are activated (if required)

6.0 RECOVERY

6.1 Recovery is an integral part of the response to a business continuity event. It involves rebuilding, restoring and rehabilitating the community. Recovery should begin at the earliest opportunity. The nature of work of a recovery team would indicate that this should be led and co-ordinated by a nominated person from one of the Chief Executive's Teams.

The Corporate Crisis Team should at an early stage:

- Notify recovery team leaders and members
- Brief Directorate Crisis Teams regarding:
 - Priorities
 - Strategies
 - Action plans
 - Reporting and communications procedures

6.1 Restoration of Normal Operating Regime

6.1.1 The City Council will plan the withdrawal of the Business Continuity Operating Regime and restoration of normal operation regime. Preparation for this change should begin once the peak of the Business Continuity event has passed.

6.1.2 Whilst some members of staff will have been heavily involved in the direct response to the BC event a strategy will be needed to ensure that others will be available to deal with the recovery phase.

6.1.3 Many people will have found themselves working in unusual areas and under stressful circumstances. Consideration should be given to the following:

- Covering the workload of those seconded to the BC event
- Strategies for briefing and de-briefing members of staff
- Health and safety issues
- Keeping all members of staff informed of the Council activity
- Support networks for members of staff eg internal help lines, newsletters
- Occupational health issues

6.1.4 The CCT will initiate the City Council's **Recovery Group** to oversee the restoration of the normal operating regime. This group should consider the following strategies for restoring normal services:

- Reallocation of senior staff responsibilities
- Establishing specialist sub-groups for long term recovery
- Implications of, and solutions to any lack of resources
- Communications with staff and pro-active recognition of their efforts
- Assistance to local businesses and voluntary organisations

6.2 Community Recovery

6.2.1 The Strategic Co-ordinating Group may establish a multi agency recovery group. During the recovery phase the City Council may be required to chair this group.

6.2.2 This will involve liaison with community representatives and Elected Members will have a significant role to play. Key activities may include:

- Consultation on major rehabilitation projects
- Liaison with representatives and special interest groups
- Developing a public information strategy
- Developing opportunities for involving local businesses

7.0 FINANCIAL IMPLICATIONS

7.1 The financial implications of the business continuity event are likely to be significant. Corporate Finance should be informed at an early stage in an incident and will need to assess the impact on the future budget plans of the City Council. During an incident it is essential to keep comprehensive records of any expenditure incurred to enable reimbursement from Central Government (usually via the Bellwin Scheme) or other means e.g. insurance.

7.2 Economic Impact

Business and voluntary organisations are crucial to the well being of the local economy. Disruption may have a detrimental effect and business may look to the City Council for support. Consideration should be given to the following:

- Assessing the economic impact of the incident
- A strategy for maintaining business confidence
- Environmental damage

8.0 REVIEW OF PERFORMANCE

The nature and severity of a business continuity event will dictate the type and number of requests for City Council contributions to debriefings and reports. A review of the City Council's response will contribute to future preparedness and the development of work programmes. Consideration should be given to the following:

- Preparing a City Council post event report
- Different types of performance reviews
- Assessing existing arrangements
- Introducing changes and improvements
- Evaluating public experiences
- Gathering views through trade associations and business forum
- Pressure from business to return to 'normality'


Senior Emergency Planning Officer

Business Continuity Management Policy

1. Introduction

- 1.1 Business Continuity Management (BCM) is a planned process aimed at managing risks, which are inherent to the day-to-day delivery of services. The main purpose of the business continuity process is to ensure continuity of service delivery following an unexpected disruption to normal working.
- 1.2 Sheffield City Council has key organisational objectives to meet, some of which are based on statutory requirements. Any failure, actual or perceived, to deliver the full range of services will have a negative impact on both the community and the Authority. Business continuity plans are in place to ensure that all reasonable measures are adopted to minimise the likelihood of business or service interruption.
- 1.3 The Civil Contingencies Act 2004 (CCA) places a duty on Local Authorities (Cat 1 responders) to maintain plans to ensure that they can continue to exercise their functions in the event of an emergency so far as is reasonably practicable.
- 1.4 The term emergency is defined under the CCA as “an event or situation, which threatens serious damage to human welfare in a place in the UK, the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the UK.”

2. Strategy

- 2.1 The corporate strategy during a business continuity event will be to keep providing normal services, if at all possible. However, dependent on the extent and duration it is possible that some non-critical services may have to be re-assessed.
- 2.2 It is planned that each service area and directorate will have a business continuity plan and form part of the overall corporate business continuity structure. It is recognised, however, that in an organisation as complex and diverse as the City Council that some services will play a more critical part in the response to emergencies, the objectives of the authority and external stakeholders.
- 2.3 Key services and any supporting critical activities, processes and resources will be identified and a business impact analysis and risk assessment will be applied.

3.0 Objectives

- 3.1 The objectives of BCM within Sheffield City Council are to:
 - Identify critical activities undertaken within the organisation.

- Ensure that up to date business continuity plans are in place to enable the continuation of critical activities should a business continuity interruption occur.
- Encourage staff awareness of their potential roles in the case of a business continuity interruption occurring.
- Ensure the availability of up to date contact and mobilisation details for personnel and relevant agencies and organisations and resources required to support response strategies
- Prevent or limit the impact of disruption to the public, service users, Council Services, partners and contractors.

4.0 Roles and Responsibilities

4.1 Business Continuity planning for Sheffield City Council is led by and co-ordinated by the Emergency Planning Team, Deputy Chief Executive's Team.

4.2 A Corporate Business Continuity Management Group consisting of senior officers from each Directorate meets on a monthly basis and ensures consistency of planning across all Directorates.

4.3 The role of the Corporate Business Continuity Management Group is to ensure that plans produced by directorates are consistent and integrate with, and compliment, each other. The group also ensure that this is similarly disseminated into service area plans, thus ensuring a co-ordinated and consistent set of plans with business continuity well embedded within the whole organisation.

5.0 Policy

5.1 The SCC business continuity policy will provide a structure through which:

- A comprehensive BCM system is established and maintained
- Key services, together with supporting critical activities, processes and resources are identified
- Business impact analysis and risk assessment will be applied to key services and supporting critical activities, processes and resources
- Risk mitigation strategies will be applied to reduce the impact of disruption on key services
- Plans will be developed to ensure continuity of key services at a minimum acceptable standard following disruption
- Invocation of business continuity plans can be managed
- Plans are subject to ongoing exercising and revision
- EMT can be assured that business continuity plans remain up to date and relevant

5.2 The corporate business continuity policy, agreed by the Executive Management Team, is as follows:

1. A co-ordinated set of business continuity plans be produced and maintained at Corporate, Directorate and Service level, in line with the guidance documents and templates, produced and regularly updated, by the Emergency Planning Team.

2. A Corporate Business Continuity Management Group to co-ordinate Directorate level business continuity management. They will ensure:

- the continued, consistent development of business continuity planning in each directorate
- plans are reviewed on at least an annual basis
- all plans are approved and signed off by the appropriate Head of Service or Executive Director
- plans are exercised on at least an annual basis
- plans are maintained on a regular basis
- lessons learned from incidents, exercises etc are incorporated into the plans
- any significant change in premises, personnel, process, market, or organisation are taken into account

5.3 Corporate Plan

The overall corporate command and control (strategic) level plan. This plan details the corporate business continuity operating regime and sets out the role of the **Corporate Crisis Team** which would be activated if an emergency or business continuity event was so severe that a directorate level plan was unable to cope.

5.4 Directorate Level Plans

Plans activated if the emergency or business continuity event could not be dealt with by a service area(s) as part of normal work. If a Directorate is unable to maintain service provision due to the magnitude of the event, a corporate level decision or corporate plan activation may be requested from the **Corporate Crisis Team**.

5.5 Service Level

Each service area is to have in place a business continuity plan, which details action to be taken during a business continuity event to ensure normal service is provided if at all possible. Plans would be activated when a service area is affected by a business continuity event. If a service area is unable to maintain service due to the nature of the event, a directorate level decision may be requested from the **Directorate Crisis Team**.

6. **Business Continuity Reporting Procedures**

6.1 All Service Level Plans are reviewed annually and approved and signed off by the relevant Head of Service. A copy of the plan to be forwarded to the Emergency Planning Team. The Service Level Plans will be utilised to identify critical functions for incorporation into Directorate and Corporate Level Plans.

6.2 Each Directorate representative on the Corporate Business Continuity Management Group will produce an annual report for their respective DMT. This report will update the current position and approve the annual update of directorate level and service level plans.

- 6.3 The Emergency Planning Team will produce an annual report to the Executive Management Team on behalf of the Corporate Business Continuity Management Group to report on progress made during the year.

7. Annual Business Continuity Timetable

The annual Corporate Business Continuity Planning structure is as follows:

Plan	Owner/Responsibility	Date
Corporate	EPT update and review by CBCMG for annual report to EMT	June/July
Directorate	Each Directorate representative on CBCMG for annual review and approval at respective DMT	April/May
Service Level	Service Level BCP lead officer. Plans approved and signed off by Head of Service and link into annual DMT and EMT reports	February

8. Partner Organisations

- 8.1 Engaging with partner organisations is an essential link in the overall business continuity structure and it is important that our partners are able to continue providing service in the event of a business continuity interruption and have adequate plans in place.

- 8.2 Business Continuity plans will not work in isolation and it is important that partners' plans integrate with, and compliment, our own business continuity structure. Clauses are included for emergency and business continuity provision in contracts within existing and new contracts with partner agencies.

- 8.3 The Corporate Business Continuity Management Group will continue to work with key partners to encourage business continuity management.

- 8.4 Key partner organisations take part in quarterly meetings of the Corporate Business Continuity Management Group

9. Business Continuity Promotion

- 9.1 The Emergency Planning Team will lead on an annual programme of business continuity promotion and will continue to raise awareness of business continuity at business and voluntary organisation level.

- 9.2 A report on business continuity promotion will form a section in the annual report to EMT.

- 9.3 A Business Continuity Forum, ('Business Emergency Resilience Group) (BERG) facilitated by the EPT, will meet twice annually.

10. Building and Embedding a BCM Culture

- 10.1 Building, promoting and embedding the business continuity management culture within the organisation is important to ensure that business continuity becomes part of the organisation's, core values and effective management.
- 10.2 All Council officers must be aware of business continuity issues. It is important that EMT and Senior Managers are aware of this policy and note in particular the responsibilities for Senior Officers and Heads of Service.

11. Training

- 11.1 Awareness and training on business continuity strategies and plans is essential to the on-going success of business continuity within the Council. The aim of training is to ensure that the implications of continuity planning are firmly embedded and become part of the routine culture of the Council.
- 11.2 The EPT in consultation with the CBCMG will arrange an on-going programme of training and awareness to ensure that:
- Staff understand the risks;
 - Changes or issues that could affect the Council's continuity arrangements are identified and acted upon;
 - Officers remain aware of their roles and responsibilities and the actions expected from them;
 - Competencies and training needs analysis for those working on business continuity is determined;
 - Effectiveness of training is evaluated and followed up;
 - Records of training are maintained.
 - Partners are an integral part of the overall planning, training and exercising process

12. Exercises

- 12.1 Each business continuity plan should be tested to validate the plan and ensure that it is workable. Exercises should be scheduled on regular basis and at least annually.
- 12.2 The Emergency Planning Team produce an annual exercise programme and each service area and partner organisation should be encouraged to take the opportunity to test their business continuity plan during all exercises.

13. Maintaining and Auditing BCM

- 13.1 Business Continuity plans will be subject to continual improvement. Plans will be updated annually in line with the business continuity programme or when required to take account of changes to structure and will work towards alignment with BS25999.
- 13.2 Following exercises, incidents and/or activation of plans any lessons identified should be documented in a report with timescales for plan reviews to enable improvements to be made to plans.

13.3 Output from BCM audits, internal reviews, feedback from stakeholders will feedback into recommendations for improvements.

14. Benefits

This policy provides a clear commitment to establishing a business continuity management system within Sheffield City Council that will enable it to:

- Continue to provide key services in times of disruption
- Make best use of personnel and other resources at times when both may be scarce
- Reduce the period of disruption to our organisation and the customers we serve
- Resume normal working more efficiently and effectively after a period of disruption
- Comply with standards of corporate governance
- Improve the resilience of our organisation's infrastructure to reduce the likelihood of disruption
- Reduce the operational and financial impact of any disruption.

15. Policy Review Date

The Emergency Planning Team will review this policy document annually in line with the annual business continuity timetable.

Emergency Planning Team

Date: 30th July 2009

APPENDIX B

Corporate Business Continuity Management Group List of Members

Name		Directorate
	Interim Director of Modern Governance	Deputy Chief Executive
	Senior Emergency Planning Officer	Deputy Chief Executive
	City Centre Manager	Place
	Head of Service	Place
	Head of Highways	Place
	Senior Manager	CYP
	Contingency Planning Manager	Communities
	Civic Accommodation	Resources
	Corporate Services Manager	Resources
	Lead Information Management Officer	Resources
	CAPITA	
	Kier Asset Partnership Services	
	Sheffield Homes	
	Veolia	
	Kier Sheffield LLP	

MAJOR EMERGENCY – POTENTIAL SERVICES REQUIREMENTS

Major Emergency Response Activity	Service Area
-----------------------------------	--------------

Emergency Planning	Deputy C Ex EPT
Emergency Control Centre	Deputy C Ex EPT
Forward Liaison Officers	Deputy C Ex EPT
Media and Communications	Deputy C Ex EPT and Corp Media
Legal Services	Legal Services
Emergency Finance	Corporate Finance
Public enquiries	Contact Centre
Incident Assessment	Deputy C Ex EPT
Dangerous Structures	Place, Dangerous Structures
Environmental Safety	Place, ERS
Emergency repairs to highway	Place, Streetforce
Emergency housing repairs	Kier LLP
Traffic Management	Place, UTC/Streetforce
Emergency lighting	Place, Streetforce
Waste management	Veolia
Mortuary	Medico Legal/EPT
Death certificates	Legal Services, Register Office
Crematoria and cemeteries	Place, Bereavement Services
Temporary mortuary	EPT/Medico Legal
Reception Centre Management	Communities
RC Catering	CYP
Provision of Reception Centres	CYP
Evacuation Transport	Central Transport
Emergency Housing accommodation	Sheffield Homes
Counselling	Deputy C Ex Occupational Health
Occupational Health advice	Deputy C EX Occupational Health

Note: Other services may be required dependent on the type of emergency

Critical Services

Deputy Chief Executives

Service Area	List of Critical Services
Deputy Chief Executive's Office	Senior Councillors & Government Departments, Policy decisions via EMT
Legal	
Corporate Legal	Legal advice during a business continuity incident or Major Emergency
Litigation	Council legal representation
Register Office	Register births, still births and deaths Marriage and civil partnership ceremonies
Modern Governance	
Committee Secretariat	Council's decision making/scrutiny process (Dependant on date)
Elections	Preparation for and conduct of elections (Dependant on time of year)
Emergency Planning	Response to Major Emergency, including Emergency Control Centre
Human Resources	Staff deployment service
Organisational Development	Safety & Occupational Health advice related to an emergency
Performance and Corporate Planning	
Communications	Corporate Media – Media Relations, support & advice

Resources

Service Area	List of Critical Services
Resources	
Customer Services	Corporate Contact Centre First Point as Humanitarian Assistance Centre in event of a Major Emergency Council's website
Transport Services	Transport S E N children & vulnerable people
ICT (including Capita)	Voice and Data Services

Children & Young People (CYP)

Appendix D1 cont'd

Service Area	List of Critical Services
All Residential Homes and Schools	
Provision for Looked After Children	
Aldine House	Secure accommodation for young people
Youth Offending Team	Supervise young offenders referred by police or the courts
SCART	Social care contracting and brokerage
When schools/sites are open	
EY Business Support	Premises support & facilities management for Children's Centres
Capacity Planning & Development	Premises support
Contract Services	Cleaning & Catering
Learning & Achievement Services	Response to school emergency

Service Area	List of Critical Services
Strategic and City Centre Services	
Markets	Primary food source
Facilities Management (incorporating Kier Ltd)	Access to Buildings
Communication	Communication – Media Relations/Public Information
Street Force	
Emergency Highway Services	Removing danger from the highway including gales, flooding, ice & snow, traffic accidents, electrical emergencies
Customer Services	Point of contact for highway emergencies & provision of public information
Olive Grove Depot	Fuel supplies
Design & Build	Provision of key resources ie. labour, plant, specialist equipment & materials
Development Services	
Urban Traffic Control	Management of traffic systems in support of the Council's response to an emergency
Highway Co-ordination	Co-ordination of activities in the highway in support of the Council's response to an emergency
Environment and Regulatory Services	
Waste Management including Veolia	The provision of refuse collection, recycling centres & clinical waste disposal
Building Regulations	Provision of responsive service to deal with dangerous structures
Environmental Services	Provision of responsive service to deal with health enforcement & dangerous dogs
Bereavement Services	Provision of crematoria, funeral services and medico legal centre
Parks and Countryside	
Parks	Provision of basic services to the Rare Breed Animal Farm

cont'd

Service Area / Department	List of Critical Services
Community Care	
Care4you	Home Support Services Resource Centres Residential Homes City Wide Alarms
Assessment and Care Management Older People's	Community Assessment & Care Management to Older People Hospital Assessment & Care Management
Joint Learning Disability Service	Accommodation & Support Services Specialist Health Services Day Service Community Learning Disability Teams Assessment & Care Management
Physical Disabilities & Sensory Impairment Service	Care Management Service Community Support Service Adult Family Placement Service Equipment Provision (To facilitate Hospital Discharge)
Strategic Commissioning and Contracts	Home Support - Independent Sector Residential – Independent Sector Supported Living – Independent Sector Extra Care Housing – Independent Sector Resource Management – Home Support Data Hub
Human Resources	
Health & Safety	Core specific functions relating to the incident
Personnel/Occupational Health	Core specific functions relating to the incident
Performance and Resources	
Communications	Essential communications linked to the incident
Finance	Payments to Independent Sector Providers Arranging funerals for Service Users Helpdesk – providing essential emergency support to key functions
Property Help desk	Depending on the incident
Carefirst/ Omes/ Flare/ Capita systems	Ability to obtain, high level reports to inform the response to the incident
Managed Service Accounts	Essential work
IT advice and support	Essential work
Projects	Essential support
Strategic Commissioning and Contracts	
Link to Home Support – Independent Sector	Purchasing care to support vulnerable people in the community

Link to Residential – Independent Sector	Purchasing care to support to people in residential care
Link to Supported Living – Independent Sector	Purchasing care to support vulnerable people in the community
Extra Care Housing – Independent Sector	Purchasing care to support vulnerable people in the community
Resource Management – Home Support Data Hub – provision & maintenance	Securing care to the most vulnerable people in the community
Housing Strategy	
Private Sector Housing & Vulnerable People	People support – Tenancy support/stay put People support – Provision of accommodation High support service

Desirable Services

Chief Executives (CEX)

Service Area / Department	List of Desirable Services
Resources	
Customer Services	Public access to Council through First Points, Language Support via the Language Support Service
Procurement, Partnering & Programme Management	Contracts / submissions
Property (Incorporating Kier Ltd)	Identification of vacant alternative office space
Legal	
Legal Orders	Legal Orders & Notices relating to Planning and Highways
Register Office	Citizenship ceremonies at the Register Office
Modern Governance	
Committee Secretariat	Administration of committees, e.g. School Admission Appeals
Local Land Charges	Register of Local Land Charges and processing searches
Members Secretariat & Lord Mayors Office	Lord Mayor/Leader/Cabinet Members provision of information
Organisational Development & Communications	
Organisational Development	Comprehensive HR advice / support

Service Area / Department	List of Desirable Services
Local Delivery	
Attendance & Inclusion EYECS Lifelong Learning & Skills	Home and school visits Extended schools Core Finance IT & Data Business Support & Planning Admin Team
Learning & Achievement Services	
Submission for whole service	School improvement and professional development for staff and schools Support for school governance Sheffield music service Admin and financial support
Resources & Development	
Resources Support Services Capacity Planning & Development Contract Services Budget Development Services	Distribution of paper docs to schools BSF Programme Delivery PFI Programme Delivery SEN/Social Care Transport Mainstream Transport School Budgets External Funding
Planning Performance & Partnership	
Town Hall Derwent House Bannerdale	HR & organisational development service to schools, external customers & CYPD Strategic planning Inspection preparation

Service Area / Department	List of Desirable Services
Strategic and City Centre Services	
City Centre Management	City Centre Ambassadors for security purposes
Facilities Management & Transport (Including Kier Ltd)	CCTV Security to council buildings
Street Force	
Streetscene & Design & Build	Provision of labour, plant and materials to bridge the gap between the response to the emergency and full recovery.
Development Services	
Planning	Provision of planning, transport & technical advise related to an emergency
Transport & Highways	
Design & Property	
Licensing	Licensing of regulated activities and businesses operating in Sheffield.
Environment and Regulatory Services	
Health Protection Services	Health related advice, guidance & instruction related to an emergency

Service Area / Department	List of Desirable Services
Community Care	
Care4you	Short break service
Joint Learning Disability Service	Community Learning Disability Teams <ul style="list-style-type: none"> - Health Support Teams - Community Assessment Intensive Support Service - Short Break Service
Physical Disabilities & Sensory Impairment Service	Adult Protection Sensory Impairment Services Short break service
Human Resources	
Personnel	Support to staff
Occupational Health	Support to staff
Performance and Resources	
Customer Relations	Support to customers
Communications	Information to Service Users and staff
IT advice and support	To maintain the service
Neighbourhood Renewal and Partnerships Service	
Safer Neighbourhoods	Payment of grants to organisations and projects

CRISIS CO-ORDINATOR – ACTION CARD

- Convene meetings of the Corporate Crisis Team
- Inform the Assistant Crisis Co-ordinator
- Inform Corporate Business Continuity Management Group
- Consider activation of the Corporate Business Continuity Plan
- Chair meetings
- Assess services required as part of the emergency response
- Assess current prioritisation of services and ensure maintenance of 'Critical Services'
- Provide strategic direction and leadership
- Consider media information requirements, reputational issues and public information strategy
- Consider establishing recovery group for restoration of normal operating regimes

ASSISTANT CRISIS CO-ORDINATOR – ACTION CARD

- Attend meetings of the Corporate Crisis Team
- Liaise with Directorate Crisis Teams and provide strategic direction and leadership
- Assist Crisis Co-ordinator
- Ensure Directorate level plans are activated as required
- Provide two way flow of information between Corporate and Directorate teams.
- Assess services required as part of the emergency response
- Assess current prioritisation of services and ensure maintenance of 'Critical Services'
- Consider media information requirements, reputational issues and public information strategy
- Consider establishing recovery group for restoration of normal operating regimes
- Maintain comprehensive and accurate financial records

BUSINESS CONTINUITY SITUATION REPORT TEMPLATE

SHEFFIELD CITY COUNCIL BUSINESS CONTINUITY SITUATION REPORT				
Report Number:	BC/	Time (24hr)	Date	
Report Author:				
Contact Details:				
Background Information				
Key Issues				
Current Situation				
Current Public Advice				
Key Contacts				

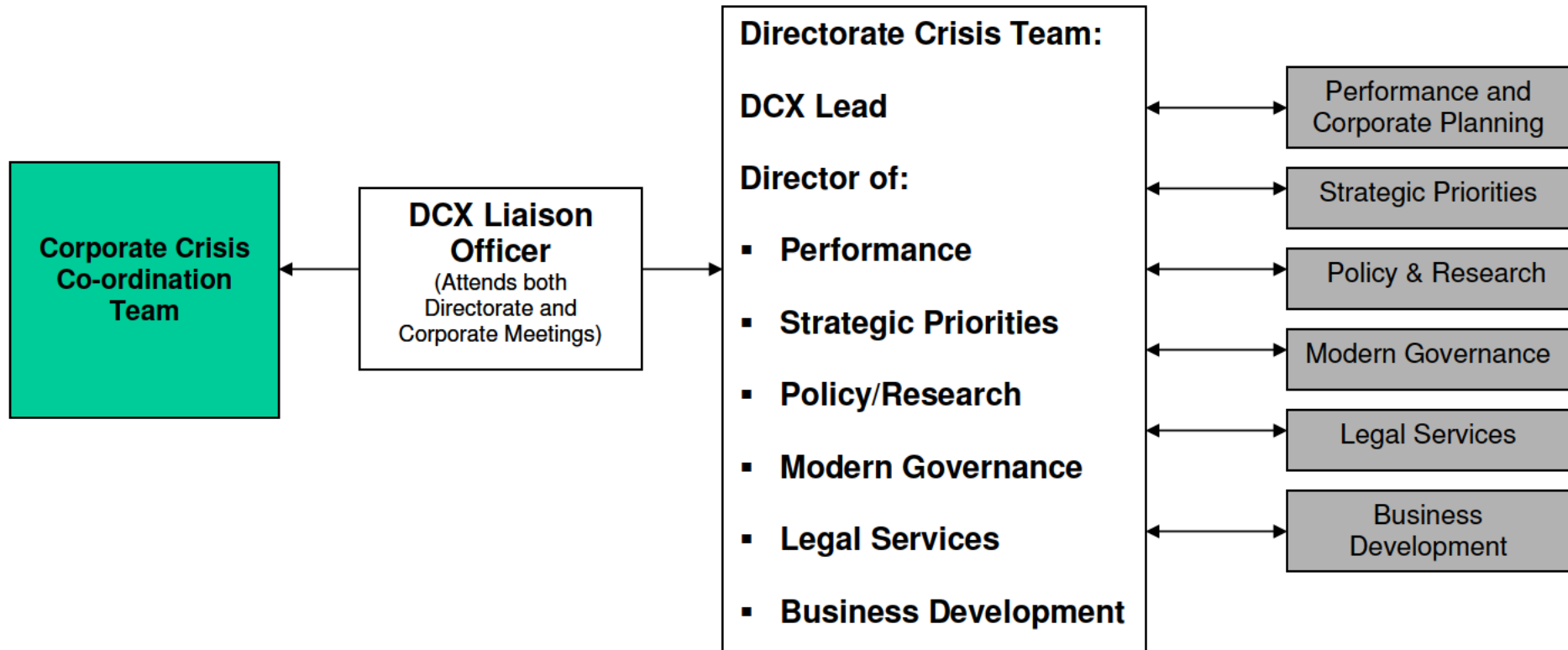
CORPORATE CRISIS TEAM MEMBERS

Appendix G

Role	Name	Contact Details
Crisis Co-ordinator	Member of EMT <i>To be nominated dependent on type of incident</i>	
Assistant Crisis Co-ordinator	Member of Senior Management <i>To be nominated dependent on type of incident</i>	
Public Information and Media Co-ordinator		
CEX Liaison Officer		
Children and Young People Liaison Officer		
Place Liaison Officer		
Communities Liaison Officer		
Sheffield Homes Liaison Officer		
Other representatives as required		
Partners????		

Directorate Crisis Team Structure

Deputy Chief Executives



**Directorate Business Continuity Crisis Teams
Deputy Chief Executive's Team**

Role	Name	Contact No.
Crisis Lead Officer		
Liaison Officer		
+ Service Area Managers	<i>Other members from service areas as required dependent on incident</i>	

Children and Young Peoples

Role	Name	Contact No.
Crisis Lead Officer		
Liaison Officer		
+ Service Area Managers	<i>Other members from service areas as required dependent on incident</i>	

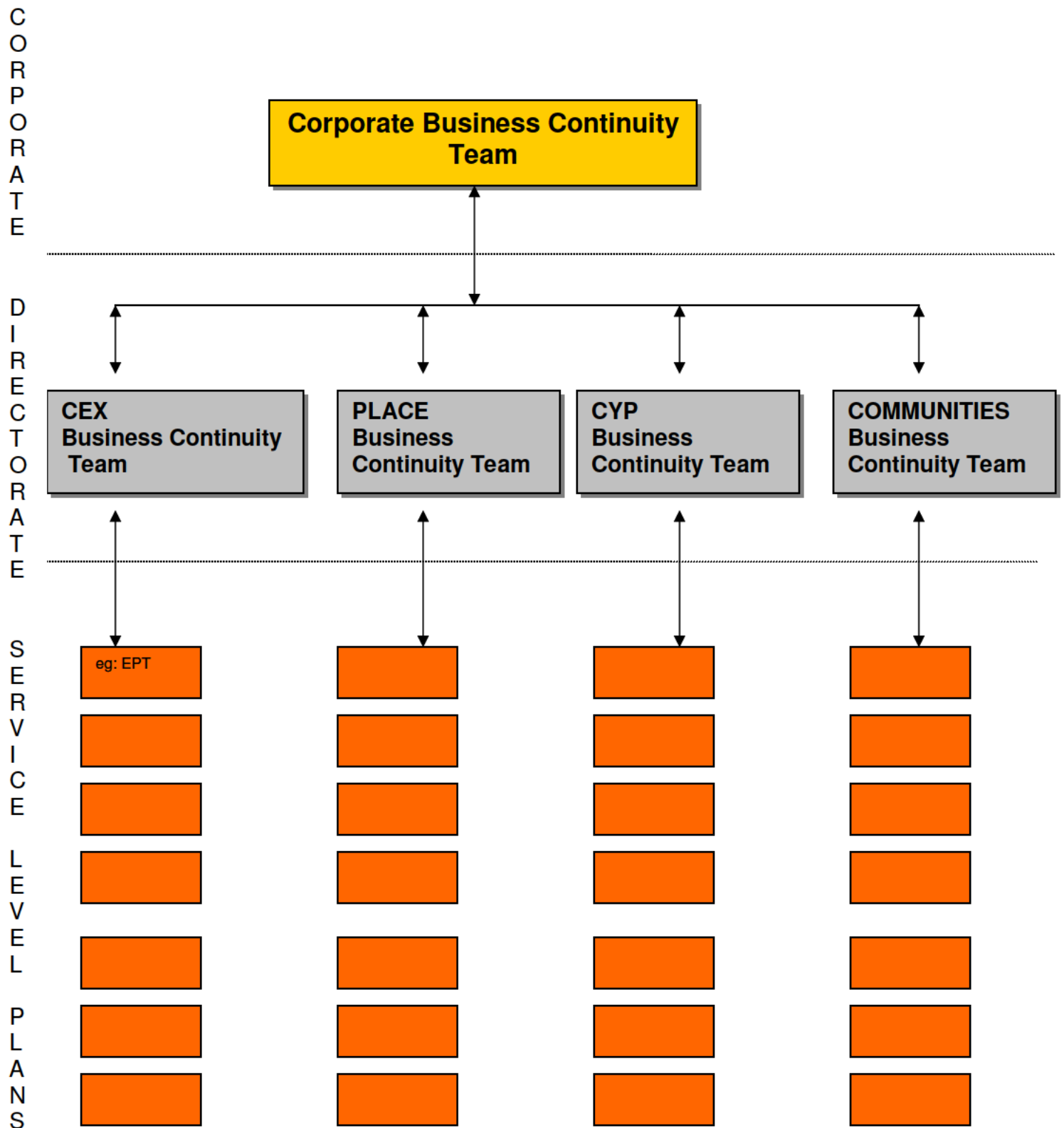
Place

Role	Name	Contact No.
Crisis Lead Officer		
Liaison Officer		
+ Service Area Managers	<i>Other members from service areas as required dependent on incident</i>	

Communities

Role	Name	Contact No.
Crisis Lead Officer		
Liaison Officer		
+ Service Area Managers	<i>Other members from service areas as required dependent on incident</i>	

Flow Chart of Business Continuity



8. Authority's Web Accessibility Standard Policy

Schedule 29

Authority Policies

The Authority's Web Accessibility Standard Policy can be found at the following link:

<https://www.sheffield.gov.uk/your-city-council/how-to-contact-us/about-this-site/accessibility.html>

or at any amended link as notified by the Authority to the Service Provider

9. Authority's Branding Policy

Corporate Identity Standards

May 2011 . V3





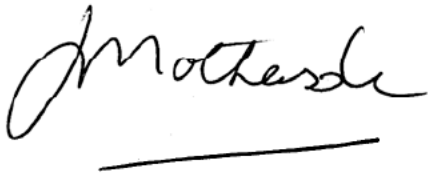
A fresher look for the Council

Design has a key role to play in improving our ability to communicate clearly. We have produced these standards to ensure conformity of style for all Sheffield City Council promotional material and printed products.

They are intended for use by our in-house designers, our contractors and to act as a reference for officers responsible for commissioning promotional material.

All work **must** comply with these guidelines.

It is important that Sheffield City Council communicates with 'One Voice'. The overall aim is to achieve a consistency of message and style of communication throughout our organisation. Given this, these standards are not optional. We trust we have your support in ensuring these standards are followed.



John Mothersole, Chief Executive

Contents	Page
The Logo	2
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Signage	6
The Typefaces	9
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Stationery	14
Templates	16
Joint Branding	18
Clothing	19
Name and Identity Cards	21
Awards	22
Useful Contacts	23

The Logo

There is only one Council logo, no other logos can be used to represent Sheffield City Council. It is essential that the logo is always used according to these standards.

The logo can be reproduced in a single colour, however it is important that the colour used is strong enough to be visible and the type legible against the background.

The logo must not be altered in any way from the original, in shape, proportions and typefaces.

The logo must not be used in conjunction with any type to form another logo.



The Logo: Sizes

Minimum size

The logo must never be reduced below 15mm in width. The width and height dimensions must always appear in proportion and should never be expanded, condensed or distorted.



Logo Size Matrix

JC Decaux Posters	200mm	Business Cards	23mm
A0 Posters	100mm	Letterheads	38mm
A1 Posters	50mm	Compliments slips	38mm
A2 Posters	40mm	Forms	15mm/25mm
A3 Posters*	35mm	Banner Stand	140mm
A4 Posters*/Brochures/ Leaflets	25mm	Pop up Display	140mm
A4 Report Cover*	25mm	Advertisement Borders - pre set template	
A5 Posters*/Brochures/ Leaflets	20mm	Vehicle Side Panel - Vehicle specific	
A6 Posters/Brochures/ Leaflets/Postcards	15mm	Building Sign - Sign Specific	
A7 Posters/Brochures/ Leaflets/Postcards	15mm	Powerpoint Presentation* - pre-set template	

Positioning the Logo: Printed Material

When the logo appears on **printed material** representing the council, it should be positioned to the front face in the bottom right hand corner.

The exact position is dependent on the selected margin widths as illustrated.

This means that any printed or published material for example, posters, leaflets, brochures, booklets, reports, displays, exhibition, J.C. Decaux posters, postcards, advertising hoardings, will follow this standards.



JC Decaux Poster

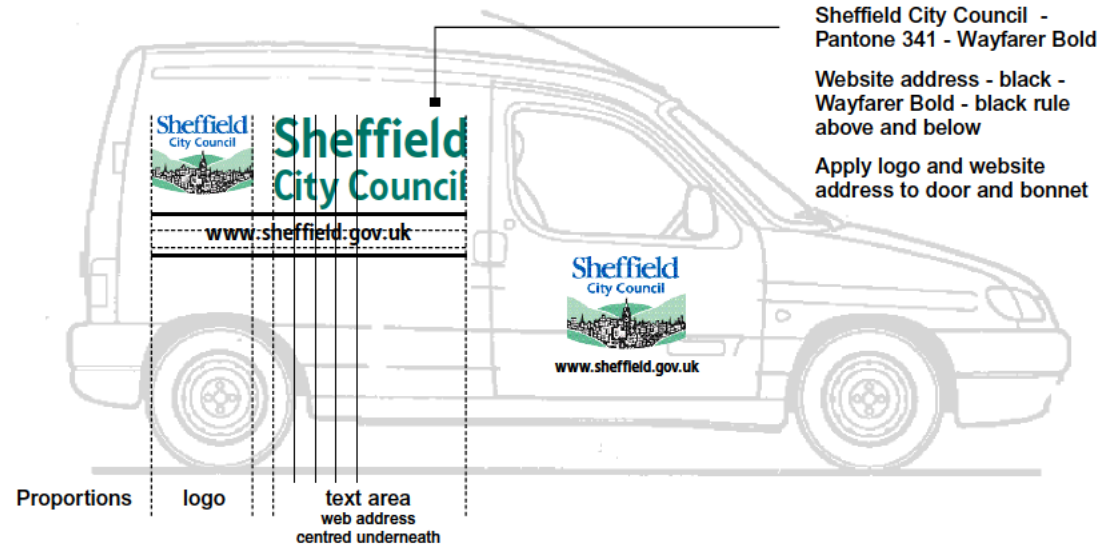


A5 Booklet Cover

Positioning the Logo: Vehicles

Council vehicles vary greatly in shape and size - however the following standard livery will be applied.

Selected vehicles may carry corporate messages by prior agreement with the Communications Service
Tel: 0114 273 5538



Rear - Service name,
address, web address
contact telephone
number

Positioning the Logo: Signage

Buildings

Buildings and fascias vary greatly in shape and size - however the following **standard graphics** will be applied.

Sign for premises with multiple council services in occupation will be signed as Sheffield City Council - internal directional signage will address specific service areas.



service block
name/site name -
Pantone 341 -
Wayfarer Bold

website address -
black - Wayfarer
Bold - black rule
above and below



Park Signs

Park signs have been designed specifically to take into account Heritage Lottery funding.

Artwork is held with
Communications Service
Tel: 0114 273 5538

Positioning the Logo: Signage

Standard Scheme Boards

Separate guidance exists for Standard Scheme Sign Boards for the City. Creative Services hold templates for these and produce vinyls to order. For further information please contact the Communication Service - Tel: 273 5538



Schools Signage

Schools should acknowledge the support of Sheffield City Council.



student artwork



School branding

acknowledges SCC

Positioning the Logo: Signage

Internal Signage

The implementation of Section 21 of the Disability Discrimination Act (DDA) means that we have a legal obligation to meet the needs of our blind and partially sighted staff and customers.

There is a need for a consistent approach to signage to ensure that identification and direction is provided in a uniform, easy to interpret format that is accessible to everyone and in particular addresses the needs of those who are visually impaired.

As a measure of good practice we should ensure that:

- All internal low level signage includes Braille and tactile information as specified by the RNIB.
- The sign panel, frame and text colours make it easy to read - maximum contrast.
- Signs use British Standard symbols
- Signs are colour co-ordinated to building interiors

For further information contact The Communication Service 273 5538.



This sign is for illustrative purpose and not an accurate braille representation

Primary Typeface

The primary typeface for Sheffield City Council is Wayfarer - this will be used for headlining for example on vehicle liveries, signage, clothing and pre printed stationery.

Wayfarer Light

abcdefghijklmnopqrstuvwxy
 ABCDEFGHIJKLMNOPQRSTUVWXYZ
 1234567890?!@£&;”

Wayfarer Light Italic

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Regular

abcdefghijklmnopqrstuvwxy
 ABCDEFGHIJKLMNOPQRSTUVWXYZ
 1234567890?!@£&;”

Wayfarer Italic

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Medium

abcdefghijklmnopqrstuvwxy
 ABCDEFGHIJKLMNOPQRSTUVWXYZ
 1234567890?!@£&;”

Wayfarer Medium Italic

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Semi Bold

abcdefghijklmnopqrstuvwxy
 ABCDEFGHIJKLMNOPQRSTUVWXYZ
 1234567890?!@£&;”

Wayfarer Semi Bold Italic

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Bold

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Bold Italic

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Heavy

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Wayfarer Heavy Italic

abcdefghijklmnopqrstuvwxy
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&;”

Secondary Typeface

The secondary typeface for Sheffield City Council is Arial - this will be used as the standard font for 'body text'.

This ensures our publications are produced in line with accessibility standards.

There are several type weights in the Arial family however the ones illustrated are suitable for body text.

Selected versions of Arial are standard on PC's and it is widely available from licenced font dealers.

Arial MT Lt

abcdefghijklmnopqrstuvwxyz
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&:;'"

Arial SF MT

abcdefghijklmnopqrstuvwxyz
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&:;'"

Arial Rounded MT

abcdefghijklmnopqrstuvwxyz
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&:;'"

Arial MT Condensed Lt

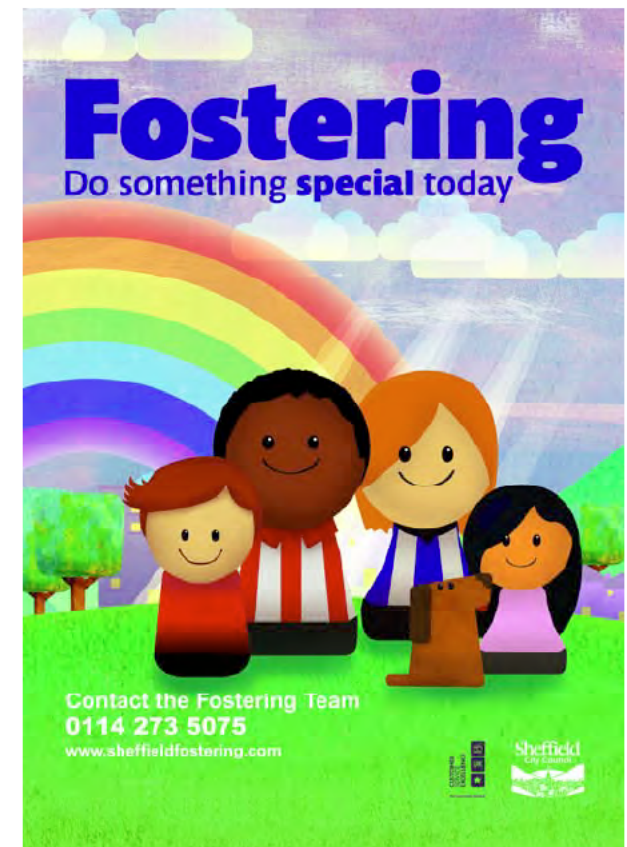
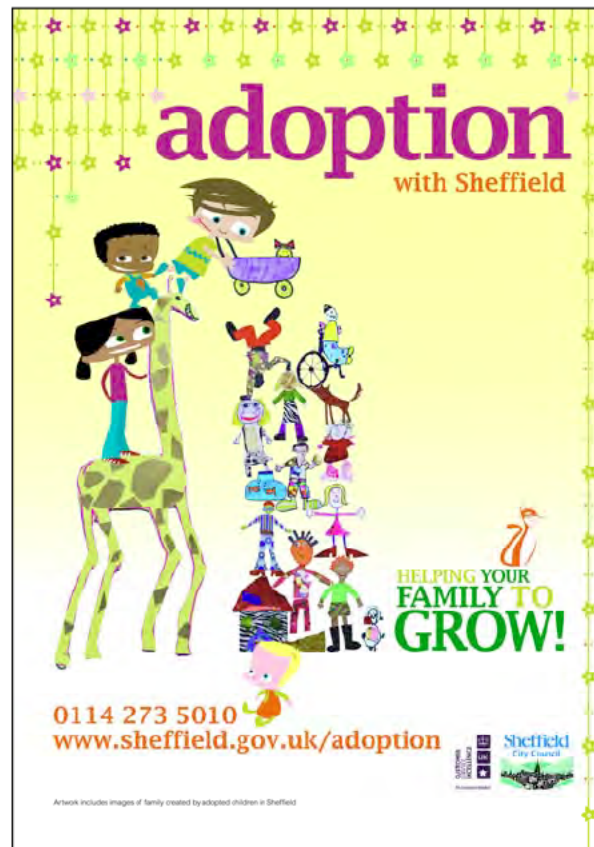
abcdefghijklmnopqrstuvwxyz
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&:;'"

Arial MT Condensed

abcdefghijklmnopqrstuvwxyz
ABCDEFGHIJKLMNOPQRSTUVWXYZ
1234567890?!@£&:;'"

Alternative Typefaces

Alternative typefaces may be used for creative title text on printed material as appropriate to the design, however not to create logotypes/namestyles for individual services.

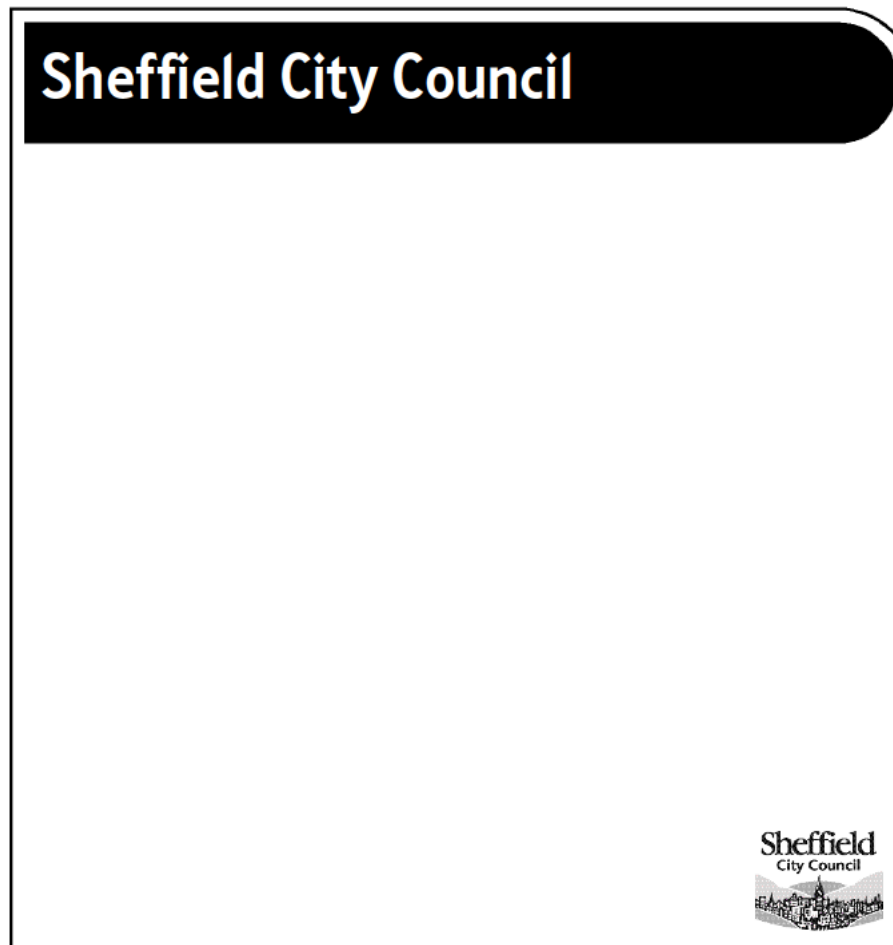


Blank for notes



Press Advertising

The corporate advertisement border designs allow for a complete range of column widths. These are the only border styles that should be used.



Stationery

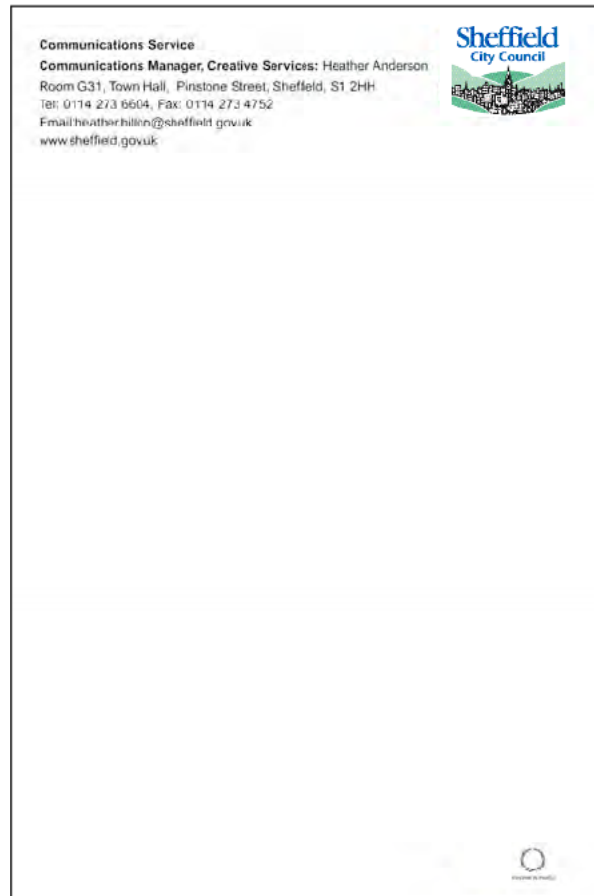
On-line Stationery

There is one standard range of stationery for Sheffield City Council which can be ordered on-line. In the first instance contact Communications Service
Tel: 0114 273 5538

Letterhead

Letterhead - Includes the City Council logo and the Investor in People logo. The inclusion of other logos must be agreed by the Communications Manager - Creative Services Tel: 273 6640.

To achieve economies of scale on print, we encourage services to overprint their own details using the corporate blanks.



Stationery

Business Card, Compliments Slip and Corporate Stock Items

There is also a full range of corporate stock items available on our online ordering system. Contacts the Communications Service - Tel: 0114 273 5538

Heather Anderson
Communications Manager,
Creative Services



Town Hall, Pinstone Street, Sheffield, S1 2HH
Tel: 0114 273 6604
Fax: 0114 273 4752
Mobile: 07944 924981
heather.anderson@sheffield.gov.uk
www.sheffield.gov.uk

Templates



Sheffield
City Council

with compliments . www.sheffield.gov.uk
This is printed on 100% recycled paper, when you have finished with it please recycle it.

INVESTOR IN PEOPLE

Templates

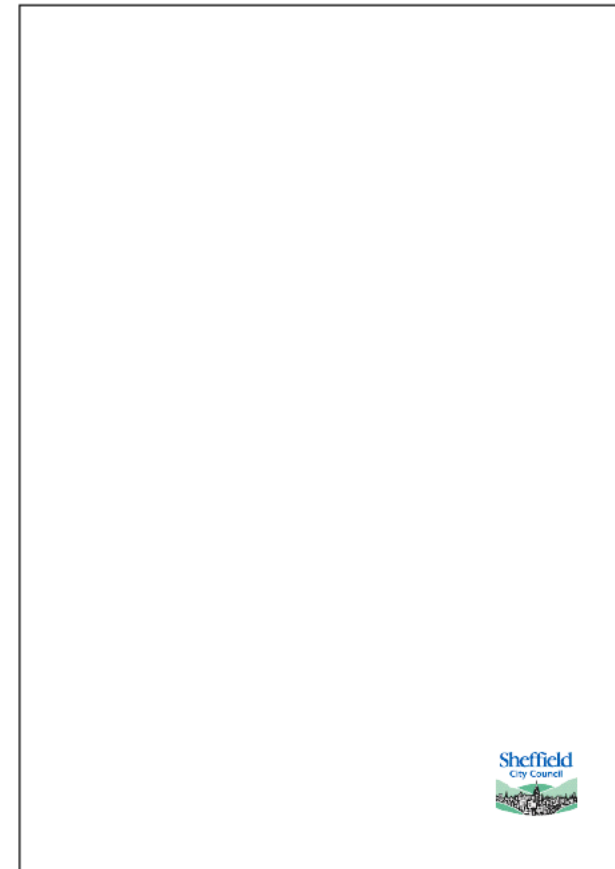
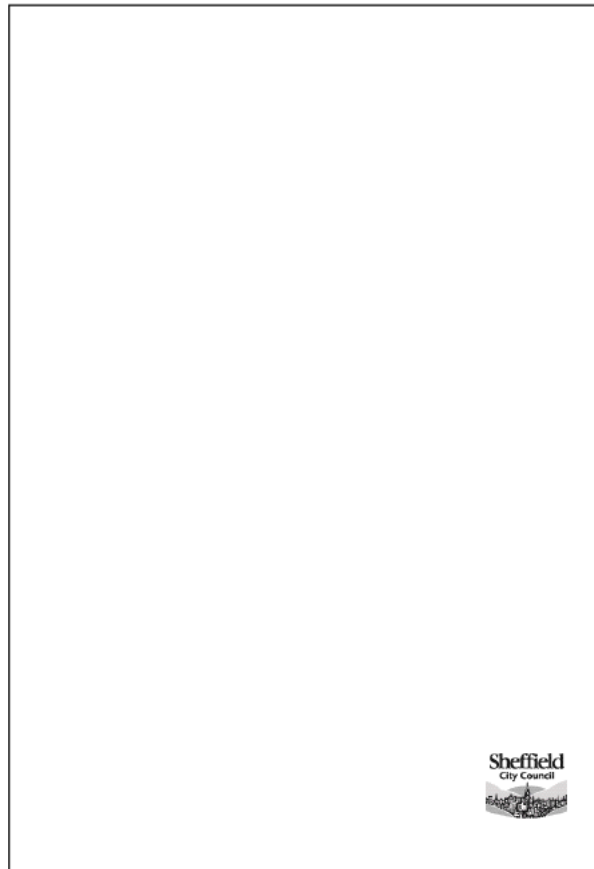
Standard Document Templates

We have produced a range of A4 Word templates to help you prepare internal documents e.g. reports, covers, internal posters and leaflets.

These templates meet our Corporate Identity Standards.

You can download them from the intranet <http://intranet/communications>

A3 Word Templates and A5 Word Templates are also available to download for short run posters and leaflets.



Templates

Powerpoint Templates

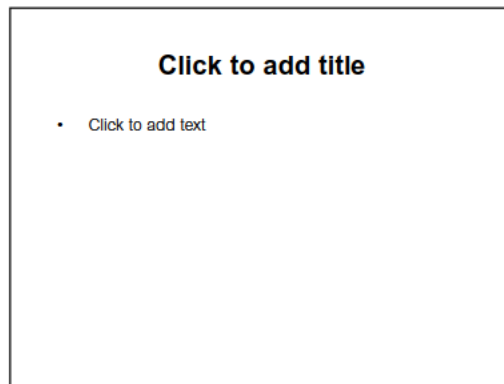
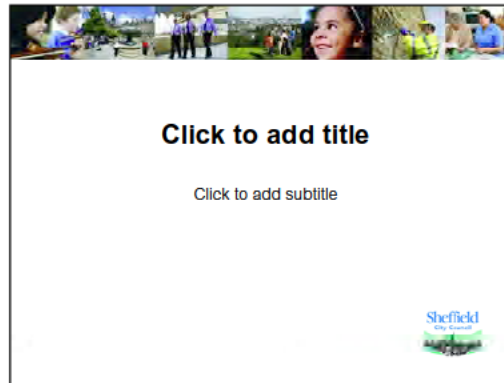
There is one standard powerpoint template available from Communications
Service Tel: 0114 273 5538

Instructions For Use

The first slide is the title slide and is branded in line with our corporate identity standards.

Use the second slide for the content of your presentation and just select the 'new slide' option in PowerPoint to add more slides.

This template replaces all previous versions and should be used for all Sheffield City Council presentations.

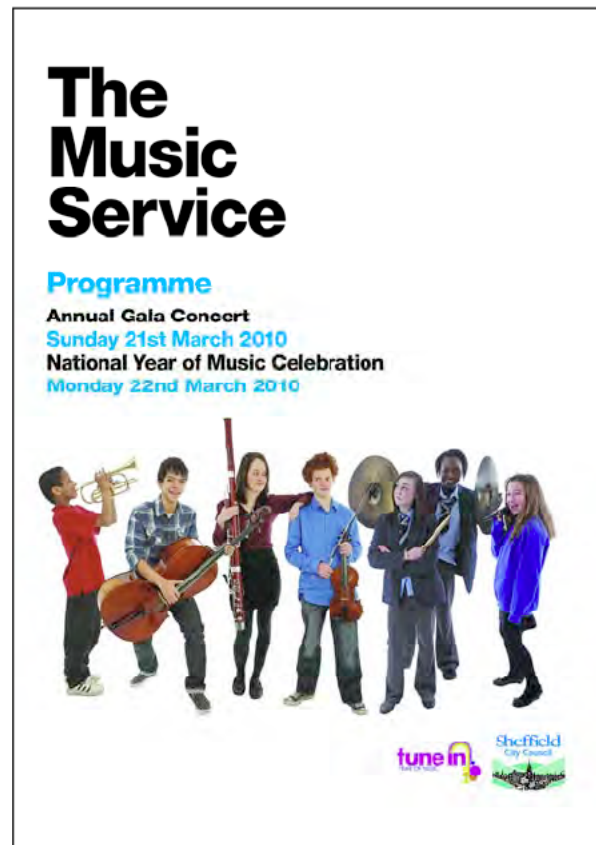


Joint Branding

The Council works with many partners and sometimes promotional work needs to be joint branded. The corporate identity standards make provision for this.

If the Council is the lead organisation then the council identity should be applied with the inclusion of any funded partner or sponsor logos.

Where funded partnership exists between the Council and another organisation, our logo should appear on all promotional material and be given equal weight and prominence to any other logos.



Clothing

Standard T-shirt

The Council logo should appear in full colour, solid white or solid black printed on the left hand front of a white, dark blue or dark green garment.

The service name may appear on the right hand side - however to achieve economies of scale we recommend the standard T-shirt.

Event T-shirt

If the garment is for a specific campaign or event - the relevant styling/colourways can be included as illustrated.



Clothing

High Visibility Clothing

Hi visibility vests will carry the logo printed on the left hand side front and Sheffield City Council to the back.



Formal shirts, as worn by City Centre Ambassadors will carry the logo on the left hand breast pocket and post title on the right.

Outer garments - fleeces, jackets etc. should be dark blue or dark green with the Council logo.

Exclusions to this are firstPOINT staff, Town Hall Attendants, Parking Attendants and some safety clothing.

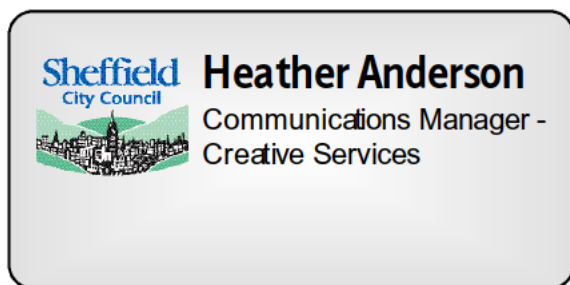
Badges and Identity Cards

Name Badges

There is one standard Council Name Badge design - this includes:

- Name
- Job Title

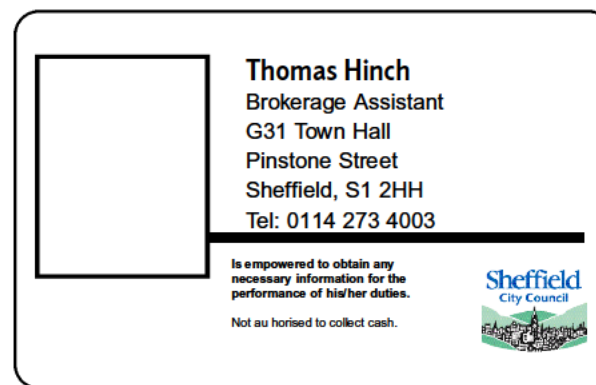
Available from Communications Service -
Tel: 273 5538.



Identity Cards

There is one standard Council identity Card design - certain details can be customised to suit specific needs.

Available from Communications Service -
Tel: 273 5538.



Awards

Awards

Sheffield City Council has been awarded Investor in People status. Having achieved these standards the logos can be included on our recruitment and HR promotional material and stationery.

Investor in People logo can appear on the website, letterheads, compliments slips, recruitment information, management and training documents such as workforce plans and service plans.

Other Recognised Awards

The inclusion of any other logos on printed items must be agreed with the Communications Manager - Creative Services Tel: 273 6604.

Some service areas have been achieved Customer Service Excellence and awarded Beacon Council status. These logos may also appear on publications specific to that service.



INVESTOR IN PEOPLE



The Government Standard



2004-2005
Transforming the School Workforce
2008-2009
Better Brighter Futures

Useful Contacts:

Communications Service: 0114 273 5538

email: communications@sheffield.gov.uk

<http://intranet/communications>

10. Authority's Information Security Policy



Policy Document

Information Security Policy

18th March 2010

Information Security Policy

Document Control

Organisation	Sheffield City Council
Title	Information Security Policy
Author	[REDACTED]
Filename	Information Security Policy.doc
Owner	[REDACTED] – Lead Information Management Officer (Information Governance and Security Team, BIS)
Subject	Information Security
Protective Marking	Unclassified
Review date	1 st January 2011

Revision History

Version	Revision Date	Revisor	Previous Version	Description of Revision
V 0.18 Draft	25/01/10	[REDACTED]	V 0.17	Re-write to reduce volume, highlight key messages and address feedback to date
V 2.00	18/03/10	[REDACTED]	V 0.18	Revised to include portfolio feedback

Document Approvals

This document requires the following approvals (Information Governance Board assumed membership)

Name	Role	Date Approved
[REDACTED]	Senior Information Risk Owner	25/03/10
[REDACTED]	Head of Enterprise Architecture	25/03/10
[REDACTED]	Data Protection/ FOI Advisor	19/03/10
[REDACTED]	Solutions Architect (Information)	19/03/10
Mick Crofts	Director of Business Strategy (Place)	25/03/10
[REDACTED]	Head of Communities Development Unit	25/03/10
[REDACTED]	Children's Commissioner	25/03/10
James Henderson	Director of Policy and Research (DCX)	25/03/10
[REDACTED]	MEC Programme Director (Resources)	25/03/10
[REDACTED]	Director of IT (Capita)	25/03/10

Document Distribution

This document will be distributed to the following for review and feedback prior to submission for approval:

Name	Role	Date Issued for Review
BIS SMT	Subject Matter Experts	02/02/10
[REDACTED]	Place Representative	03/02/10
[REDACTED]	CYP Representative	03/02/10
[REDACTED]	Communities Representative	03/02/10
[REDACTED]	Deputy Chief Executives Representative	03/02/10
[REDACTED]	Sheffield Homes Representative	03/02/10
[REDACTED]	Resources Representative	04/02/10
[REDACTED]	HR Representative	03/02/10
[REDACTED]	Internal Audit Representative	
[REDACTED]	Capita Representative	03/02/10
[REDACTED]	Equalities Representative	03/02/10
[REDACTED]	Workstyle Representative	03/02/10
[REDACTED]	Union Representatives	04/02/10
[REDACTED]		

NB Portfolio representatives are responsible for identification of relevant stakeholders within their portfolio and onward distribution

Information Security Policy

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Information Security Policy

1 Introduction

- 1.1** Sheffield City Council recognises that information security applied in isolation without due acknowledgement of business need is a barrier to effective information management. Information security must be an enabler with decisions based on business need to support our functions. This is the key principle by which this policy has been developed and will be subsequently implemented and maintained.
- 1.2** In order to ensure the continued delivery of services to our customers, we are making ever increasing use of Information and Communication Technology (ICT) and customer information held by the City Council and other public sector organisations.
- 1.3** The information that we hold, process, maintain and share with other organisations is a vitally important asset that, like other important business assets, needs to be suitably protected and used within a governance framework.
- 1.4** In order to maintain public confidence and ensure that we comply with the general law, we must maintain compliant standards of information security. A number of policies are being developed to help guarantee these standards.

2 Authority for this Policy

- 2.1** This policy is made by the Director of Business Information Solutions (“the Director”) using his delegated powers as set out in Item 1 in the Information Governance Board Minutes dated 7th January, 2009.
- 2.2** This delegation is to establish and approve internal policies dealing with all aspects of the management of all Sheffield City Council information and its security.

3 Precedence and Review

- 3.1** Where there is any conflict between this policy or any directions given under it with any other City Council internal policy, instruction or guideline, this policy will take precedence, except where the Director agrees otherwise after considering the law and the interests of the City Council.
- 3.2** The Information Governance and Security Team is responsible for reviewing this policy at least annually and for making recommendations on changes to the Director.
- 3.3** Where this policy or any decision made under it conflicts with any contract between the City Council and any other party, the contract terms shall take precedence in the absence of an agreement between the parties to the contrary.

4 Decision Making Under this Policy

- 4.1** Generally, this policy assigns decision making responsibilities to designated individuals. Where it does not or where the designated individual fails to make a decision, and a decision is required it shall be made by an Information Management Officer or a Lead Information Management Officer employed in the Information Governance and Security Team, Business Information Solutions service within the Resources Directorate.
- 4.2** The Director may make or review any decision under this policy and if appropriate, substitute his own decision for it.

5 Applicability

- 5.1** This policy applies to everyone who is authorised by the City Council to use any paper based or electronic system containing information provided for, owned, controlled or administered by the City Council ('Users'). It also applies to everyone who is authorised to use in any way information that isn't public, provided to or created by the City Council in any circumstances.
- 5.2** The City Council will treat all information that is not public as "RESTRICTED" in accordance with the [HM Government Security Policy Framework](#). That information will be controlled so that only those with a "need to know" will be able to access it; be marked appropriately by the originator/owner where possible; where the information is an official record, treat it in accordance with the law relating to such records.
- 5.3** This policy applies to all information processed by, and on behalf of, the City Council regardless of form and imposes a series of controls.

6 Purpose

- 6.1** This document details the City Council's Information Security Policies. An objective of these policies is to ensure that consistent and high standards of information security are applied across the City Council to:
- ensure that everyone (especially citizens and users of the City Council systems) are assured of the confidentiality, integrity and availability of the information we hold;
 - minimise business impact caused by security incidents;
 - meet legal and regulatory requirements;
 - ensure that all users are told of their information security responsibilities;
 - ensure that the City Council's systems and data are used securely;
 - ensure that City Council information architecture and technical infrastructure is designed and implemented to the highest industry standards;

Information Security Policy

- ensure that the City Council complies with the Payment Card Industry Data Security Standard, where appropriate.

These policies are based on industry best practice and government mandated standards. They are intended to satisfy the requirements set out by the Government Connect Secure Extranet Code of Connection (GCSx), ISO/EC 27000 Series of Information Security Standards and regulators, for example The Information Commissioner.

7 Law

7.1 The following legislation governs aspects of the City Council's information security arrangements. This list is not exhaustive:

Computer Misuse Act 1990
Copyright Designs and Patents Act 1988
Data Protection Act 1998
Electronic Communications Act 2000
Environmental Information Regulations 2004
Freedom of Information Act 2000
Human Rights Act 1998
Regulation of Investigatory Powers Act 2000
Re-use of Public Sector Information Regulations 2005

8 Risks

8.1 The City Council recognises that there are risks associated with users accessing and handling information in order to conduct City Council business

8.2 This policy aims to provide mitigations for the following risks:

- citizens concerns over how the City Council uses personal data;
- failure to report information security incidents;
- inadequate destruction of data;
- inadequate control of user access to information;
- legal action against the City Council or individuals as a result of information loss or misuse;
- reputational damage following information loss or misuse;
- non-compliance with externally imposed requirements (for example, those made by Government, external audit and so on)

8.3 The City Council is currently developing a Governance framework in accordance with Cabinet Office mandated requirements. This requires the introduction of Directorate and Service Information Risk Owners and Information Asset Owners. Where policy refers to the Information Risk Owner role these responsibilities must, until Information Risk Owners are in place, be fulfilled by managers in each service. Guidance and support may be available from the Information Governance and Security Team (01142736891).

- 8.4** Non-compliance with this policy could have a significant effect on the efficient operation of the City Council and may result in loss of trust, financial loss, reputational damage and an inability to provide services to our customers.

EMAIL POLICY

Sheffield City Council will ensure that its email facilities are used: lawfully and responsibly; in accordance with City Council policies and Codes of Conduct; and have appropriate security controls applied.

- 1** In all cases, users must act in accordance with the current Electronic Communications Policy ([here](#)) or any modification of it.
- 2** All email that is used to conduct or support official Sheffield City Council business must be sent using an approved email address (e.g. suffixed with .sheffield.gov.uk). Other email systems may only be used where this is critical to City Council business and formally approved by the appropriate Senior Information Risk Owner.
- 3** Where secure routes provided by a third party are used to send or receive email (for example, GCSx) that provider or another acting on its behalf, may monitor email traffic for lawful purposes. For example, the Government may intercept or monitor email sent through the GCSx network.
- 4** Before any user is given access to the GCSx network, they must have positively confirmed their acceptance that communications sent or received through it may be intercepted or monitored by Government or contractors operating on its behalf, in accordance with the law.
- 5** Email must only be used to disclose non-public information where this is permitted by the law, the Code of Conduct and City Council policies. Managers can provide guidance on this.
- 6** Users must take special care not to email malicious software to others.
- 7** All emails that are used to conduct or support official business must be sent using a “@sheffield.gov.uk” address or other formally approved City Council domains. All emails sent via the Government Connect Secure Extranet (GCSx) must be in the format name@sheffield.gcsx.gov.uk. All emails that represent aspects of City Council business or City Council administrative arrangements are the property of the City Council and not of any individual user.

Information Security Policy

- 8** All e-mail leaving the City Council's network through its email infrastructure will carry the following disclaimer: "This Email, and any attachments, may contain non-public information and is intended solely for the individual(s) to whom it is addressed. It may contain sensitive or protectively marked material and should be handled accordingly. If this Email has been misdirected, please notify the author immediately. If you are not the intended recipient you must not disclose, distribute, copy, print or rely on any of the information contained in it or attached, and all copies must be deleted immediately. Whilst we take reasonable steps to try to identify any software viruses, any attachments to this Email may nevertheless contain viruses which our anti-virus software has failed to identify. You should therefore carry out your own anti-virus checks before opening any documents. Sheffield City Council will not accept any liability for damage caused by computer viruses emanating from any attachment or other document supplied with this e-mail.."
- 9** All email will be automatically archived to the Email Archiving System after a period of three months of inactivity unless otherwise agreed by the City Council.
- 10** Where GCSx email is available to connect the sender and receiver of an email message containing non-public information this must be used, using automatic means where available.
- 11** E-mail must not be automatically forwarded to a lower classification domain. In other words, automatic email forwarding must not be used where the destination address is not capable of handling PROTECTED or a higher classification information - see the Information Asset Protection Policy for more on classification.
- 12** Users must implement appropriate approved access rights to their email for colleagues to support business continuity.
- 13** When creating an email, the information contained within it must be classified according to its content - see the Information Asset Protection Policy for more on classification.
- 14** Users must check destination addresses carefully before sending email; this is critically important where non-public information is being transmitted.

INTERNET ACCEPTABLE USE POLICY

Sheffield City Council will ensure that its internet facilities are used: lawfully and responsibly; in accordance with City Council policies and Codes of Conduct; and have appropriate security controls applied.

- 1** In all cases, users must act in accordance with the current Electronic Communications Policy ([here](#)) or any modification of it.
- 2** The IT Partner is responsible for the technical management of users Internet access and usage.
- 3** The IT Partner will ensure that all use of the internet facility is recorded.
- 4** The IT Partner will ensure that users will not be able to access categories of website defined by the City Council as inappropriate and will provide the facility for different groups of users to be able to see different categories of website.

SOFTWARE POLICY

Sheffield City Council will ensure the appropriate use of all software and applications by all users. This policy deals with risks associated with software deployment and use; it provides a framework to assist in the mitigation of those risks.

A key purpose of this policy is to ensure that security best practice is embedded into all application development activity – for example, any development environment and supporting processes. Managing security risks and common application vulnerabilities from the start of application development activity reduces the risks to the City Council's information and the costs of correcting insecure applications.

- 1** Software will never be registered in the name of an individual user. Normally, it will be registered in the name of the legal owner and/or licensee of the software.
- 2** A register of all software will be maintained and will include a library of software licenses. The register must contain: The title and publisher of the software; The date and source of the software acquisition; The location of each installation as well as the serial number of the hardware on which each copy of the software is installed; The existence and location of back-up copies; The software product's serial number; Details and duration of support arrangements for software upgrade.

Information Security Policy

- 3** Software (excluding that routinely required for everyday business purposes (such as cookies, email, etc) may not be installed unless approved by the IT Partner or Business Information Solutions using an agreed, formal change process.
- 4** Users must report City Council software misuse to the BIS Service Desk on [REDACTED].
- 5** All software acquired by Sheffield City Council may only be purchased through the IT Partner unless approved by the Director.
- 6** All software deployed by or on behalf of the City Council must be used in accordance with license conditions applying to it.
- 7** The IT Partner must ensure that users cannot introduce potentially harmful software such as screen savers, games, wallpaper etc onto City Council computer equipment.
- 8** Software must only be installed by the IT Partner once any software registration requirements have been met. Once installed, original media (where such exists) on which the software was supplied must be kept in a safe storage area maintained by the IT Partner.
- 9** All application development projects must apply a proven and published notation, ideally using an open standard.
- 10** All application development projects must produce a catalogue of development methodologies to be used.
- 11** All application development projects must produce a catalogue of proven and mature application development supporting tools
- 12** All application development projects must produce an application security architecture and apply a quality assurance process
- 13** All application development projects must apply integrated security testing (unit, integration and system) throughout the application development life-cycle.
- 14** All application development projects must control and prevent unauthorised access to the printouts or reports, electronic or hard copy, of the application source code which makes up the programs run on systems.
- 15** All critical application development projects or those which are likely to pose a significant risk to production environments must be conducted in separate development/test and production environments, with access control in place to enforce separation.

Information Security Policy

- 16** Personnel assigned to application development projects development/test environment must not be assigned to the associated production environment as well unless the Director approves any such arrangement subject to appropriate security controls.
- 17** All application development projects must ensure production data (for example live payment card data or personal data) are not used for testing or development unless the Director approves any such arrangement subject to appropriate security controls. . In addition, City Council processes based on BS10012:2009 must be adhered to.
- 18** All application development projects must ensure the removal of test data and accounts before production systems become active.
- 19** All application development projects must ensure removal of custom application accounts, usernames and passwords before applications become active or are released.
- 20** All application code must be written in a high-level language, using simple modular design.
- 21** All application code must run with the minimum privilege settings required.
- 22** All application code must individually identify individual users of the system, only permitting access to information/functions necessary for their role. If an application provides or enables the provision of public information for which authentication is specifically not required, role specific authentication will not be required.
- 23** All application code must contain adequate comments to make it understandable.
- 24** All application code must utilise appropriate naming standards for data items and other objects.
- 25** All application code must utilise comprehensive parameter checking, especially at all entry points into sub-systems.
- 26** All application code must pass all application errors to an error-handling sub-system, which will provide meaningful responses and not allow control to pass through it.
- 27** All application code must provide sub-total cross-checks and appropriate audits of sensitive data, particularly when financial or personal information is processed.

Information Security Policy

- 28** All application code must store sensitive information such as Payment Card Data or personal data in as few places as possible and for as short a time as possible. If such information requires long-term storage there must be documented business reasons and this data must be encrypted.
- 29** All application code must protect memory areas from unauthorised access or buffer overflow.
- 30** All application code must obscure all password entry fields in order to prevent passwords being viewed by others.
- 31** All custom code must be reviewed (using manual or automated processes) to eliminate security vulnerabilities prior to release to production.
- 32** Code changes must be reviewed by appropriately qualified (ie in code review techniques and secure coding practices) authorised personnel other than the original code author.
- 33** Appropriate corrections to application code must be implemented prior to release.
- 34** All code review results must be reviewed and approved by management prior to release.
- 35** Public facing internet applications must be continually protected against new threats and vulnerabilities by, for example, using manual or automated application vulnerability security assessment tools or methods at least annually and after any changes.
- 36** Web sites must only be developed and maintained by properly qualified and authorised personnel.
- 37** No unauthorised changes may be made to system program source libraries.
- 38** Web applications (internal and external; including web administrative access to application) development projects must address the Open Web Application Security Project Guideline (<http://www.owasp.org>) Top 10, known as the OWASP Top 10.
- 39** Web browsers must not run in the context of a privileged user.
- 40** The IT Partner will ensure that major system upgrades are thoroughly tested in parallel with the existing system in a safe test environment that replicates the operational system where possible in line with any relevant City Council Policy.

ACCESS CONTROL POLICY

Sheffield City Council applies access controls to users of its buildings, systems and information, based on business need and associated compliance frameworks. This helps to ensure the continued confidentiality, availability and integrity of that information.

- 1** It is of utmost importance that passwords are protected at all times. Users must: never reveal passwords to anyone else ; never use a 'remember password' function; never write passwords down or record them anywhere else except where this is specially allowed by the City Council; never use their username within the password; comply with security rules which require, for example, frequent password changes; not use the same password for different systems either inside and outside of work.
- 2** It is the user's responsibility to prevent their credentials (especially passwords) being used to gain unauthorised access to City Council systems.
- 3** If users become aware, or suspect, that their password has become known to someone else, they must change it immediately and report their concerns to the BIS Service Desk.
- 4** Users must always use strong passwords for access to the computer network and password protected devices such as a Blackberry.
- 5** The IT Partner will ensure that strong passwords for authorised user access to the computer network are enforced; strong passwords must contain at least 8 characters and comply with at least three of the following four rules: 1 character must be upper case, 1 lower case, 1 digit and 1 symbol. In addition, as far as it is possible to do so, passwords consisting of single dictionary words must be prohibited.
- 6** The IT Partner will ensure that strong passwords for authorised user access to the Blackberry service are enforced; strong passwords must contain at least 7 characters and comply with at least three of the following four rules: 1 character must be upper case, 1 lower case, 1 digit and 1 symbol. In addition, as far as it is possible to do so, passwords consisting of single dictionary words must be prohibited.
- 7** The IT Partner will ensure that all passwords expire every 90 days (or such shorter time as the City Council specifies in the circumstances of a particular case).
- 8** The IT Partner will ensure that passwords provided to users (eg on initial introduction to a computer system) are changed as soon as possible - preferably before full access to the system is given

Information Security Policy

- 9** The IT Partner will ensure that default passwords on IT equipment or systems (for example, manufacturer provided passwords) remain in place for the minimum possible time and in any event are changed prior to installing the equipment/system onto a network.
- 10** The IT Partner will ensure that authorised users are not able to reuse the same password within 20 password changes.
- 11** The password administration process for each Sheffield City Council system must be documented.
- 12** The IT Partner will ensure that password and other credentials identify one user only, except where, in the circumstances of a particular case and subject to appropriate conditions, the City Council authorises different arrangements to be made.
- 13** The IT Partner will ensure that suitable processes exist to ensure that password and other user credentials remain secure, especially at the point of issue.
- 14** The IT Partner will ensure that appropriate role based system access control is implemented.
- 15** The IT Partner will ensure that password and other user credential administration systems are properly controlled, secure and auditable.
- 16** The IT Partner will ensure that where the entry of passwords is required, those passwords are displayed, where necessary, only as symbols such as dots.
- 17** The IT Partner will ensure that an account is automatically locked when a user makes 5 consecutive unsuccessful attempts to logon.
- 18** The IT Partner will ensure that a logon warning message approved by the City Council appears before the logon screen and has to be acknowledged by the user before the logon screen is presented.
- 19** The IT Partner will ensure that at no point prior to or during the logon process is any indication of the account privileges given.
- 20** The IT Partner will ensure that system administrators have individual administrator accounts that are logged and audited.
- 21** The Information Asset Owner of a software application is responsible for authorising all access to any information contained within it. The Information Asset Owner may exercise this responsibility by directing that designated procedures are followed.

Information Security Policy

- 22** The IT Partner will ensure that the level of access accorded to any authorised user accords with their role as specified in the procedures directed by the Information Asset Owner.
- 23** The IT Partner will ensure that the level of access cannot be changed by the user without the formal change and approval process being engaged
- 24** The IT Partner will ensure, as far as possible, that no unauthorised modems or other networking equipment can be connected to the City Council's network.
- 25** The IT Partner will ensure that remote access to the network is secured by two factor authentication methods.
- 26** Formal procedures must control how access to information is granted and how such access is changed.
- 27** Processes must be implemented to ensure that all changes to access rights of users of City Council information systems are made in a timely manner. On termination or suspension of a users employment, contract, agreement or other relationship with the City Council, access rights must be terminated or suspended by close of business on the last working day on which access is required.
- 28** Access control rules and procedures must be used to regulate who can access Sheffield City Council information resources or systems and the associated access privileges.
- 29** Formal user access control procedures must be documented, implemented and kept up to date for each application and information system. Access control procedures must cover all stages of the lifecycle of user access, from the initial registration of new authorised users to the final de-registration of users who no longer require access.
- 30** Each user must be allocated access rights and permissions to computer systems and data that are commensurate with the tasks they are expected to perform.
- 31** User access rights must be reviewed at regular intervals by Information Risk and Information Asset Owner(s) to ensure that the appropriate rights are still allocated.
- 32** A request for access to the City Council's computer systems must follow a procedure which requires manager, or senior officer, approval of that request.

Information Security Policy

- 33** Third parties must not be given access to the City Council's network without security authorisation through formal change processes. Any changes to third party connections must be made only through a formal change processes. The IT Partner must maintain a log of third party activity. The IT partner must ensure that third party connections are disabled when not in use.
- 34** No administrator account may be used for day to day activities where administrator level privilege is not required.
- 35** Where there is a business critical requirement for a specific person to have access to a defined information system without meeting all the requirements of this policy, the manager of that person may submit a request for limited access to be specially permitted. That request must be submitted in writing to the appropriate Senior Information Risk Owner. A SIRO may then decide whether or not grant the request and if so, on what terms.
- 36** Managers are responsible for ensuring that creation of new IT user accounts, changes in role, and termination of user accounts are notified through the standard change process in a timely manner.
- 37** An efficient and effective process to ensure the emergency suspension of user access must be put in place.
- 38** Each user of the GCSX network will be allocated a unique user identity.

HUMAN RESOURCES PRACTICE SECURITY POLICY

Sheffield City Council will ensure that users are subject to appropriate checks and information security training prior to authorising access to City Council information. This will help ensure that all recruitment is carried out in line with compliance frameworks and the continued confidentiality, availability and integrity of City Council information.

- 1** The information security responsibilities of users must be defined, documented and incorporated into induction processes and where appropriate, contracts of employment. "Information Security responsibilities" means responsibilities for maintaining the confidentiality, integrity and availability of the information that person will be handling and is likely to include knowledge and understanding of relevant City Council policies.

Information Security Policy

- 2** The City Council must satisfy itself as to the identity of potential employees and where appropriate, individuals delivering services on behalf of the City Council. It will, where this is consistent with the legal relationship or prospective legal relationship between the City Council and the individual check: at least two references; and check application forms for completeness and accuracy; and confirm claimed relevant academic and professional qualifications; and check the appearance of the individual against an official document such as a passport.
- 3** Where individuals have access to non-public information and/or use of the GCSX the following will also be established: proof of name, date of birth, address and signature (for example, using a passport and recent utility bill); and verification of full employment/academic history for the past 3 years; and proof of eligibility to work in the UK; and (where this is lawful) a check of unspent convictions.
- 4** Where access is to systems processing payment card data, credit checks on the employee must be carried out to an appropriate level as required by the Payment Card Industry Data Security Standards (PCI-DSS).
- 5** All contractual relationships with individuals will, as far as possible, state their own and the City Council's responsibilities for information security.
- 6** Each user must sign a statement confirming that they understand the nature of the information they use, that they will not use the information for unauthorised purposes and that they will return or destroy it as directed by the City Council when their formal work with the City Council terminates.
- 7** The City Council will ensure that all users are aware of information security threats and concerns, their responsibilities and liabilities, and are equipped to comply with security policy. It will also ensure that user changes in role or business environment are carried out in a manner which ensures the continuing security of the information systems to which they have access.
- 8** Information Risk Owner roles will be discharged by managers if no one in the local service has been formally appointed to the Information Risk Owner role.
- 9** Senior Information Risk Owners must make every effort to help users to understand and be aware of information security threats and their responsibilities in applying appropriate City Council policies.
- 10** Managers must ensure that users: are adequately trained and equipped to carry out their role efficiently and securely; receive appropriate information security training; and updates in relevant law, policy and procedures.

INFORMATION ASSET PROTECTION POLICY

All information assets such as non-public paper records, IT equipment used to access information and the computer network must be identified, recorded and have an appointed asset owner and be appropriately protected at all times.

- 1** All information held by the City Council will be classified in accordance with the HMG Security Policy Framework (SPF) (<http://www.cabinetoffice.gov.uk/spf.aspx>) by the owner of that information asset. By default, all non-public information is in the RESTRICTED category; that categorisation can be changed appropriately at any time by the information asset owner. Any system subsequently allowing access to this information must clearly indicate the classification
- 2** Decisions on the appropriate level of access to information or information systems for a user are the responsibility of the Information Asset Owner.
- 3** Users who handle RESTRICTED information (see **1** above) will be told of the impact of loss of that information and what to do if it is lost or inappropriately disclosed.
- 4** The IT Partner and the City Council will ensure that non-public data which cannot be transmitted using the GCSx infrastructure and is being transferred from the City Council computer network to an external party is sent and received in encrypted form.
- 5** The IT Partner will ensure that proven, standard, government approved encryption algorithms, such as Triple DES and AES are used. AES should be used where possible. SSH (or better) should be used for peer-to-peer encryption.
- 6** The City Council and the IT Partner will ensure that where passwords are required to protect encrypted data, they are strong (as defined in the Access Control Policy) and at least 14 characters in length.
- 7** The IT Partner will ensure that cryptographic keys are protected against both disclosure and misuse by restricting access to as few custodians as necessary and by storing them in as few locations and forms as possible.
- 8** The City Council and the IT Partner will ensure that all computer equipment is appropriately located so as to minimise risk from environmental hazards, theft and unauthorised access to information contained in or accessed through it.

Information Security Policy

- 9** The IT Partner will ensure that business critical systems are protected by appropriate technology to reduce the risks arising from power failures.
- 10** The IT Partner will ensure that IT equipment is not moved or modified without authorisation.
- 11** The IT Partner will ensure that all IT equipment is recorded on an inventory and that inventory is kept current. The inventory must contain sufficient information about the equipment to ensure that it can easily be located, maintained and disposed of.
- 12** The IT Partner will ensure that all IT equipment is uniquely identifiable and that a unique asset number allocated to it.
- 13** The IT Partner will ensure that cables that carry data or support key information services are be protected from interception or damage. Power cables should be separated from network cables to prevent interference.
- 14** The IT Partner will ensure that network cables are marked and colour coded appropriately, protected by conduit, where possible avoid routes through public areas (where possible) and installed in accordance with quality cabling practices.
- 15** The IT Partner must ensure that all ICT equipment is maintained in accordance with the manufacturer's instructions and with any documented internal procedures to ensure it remains in working order. Such instructions and procedures must be available to support staff when required.
- 16** The City Council and the IT Partner will ensure that as far as possible, hard drives in Desktop or laptop PCs do not have City Council information stored on them, except where that is necessary for the functioning of the machine. City Council information will be stored on network devices where possible.
- 17** Users must not be allowed to access information until the Information Risk Owner is satisfied that they understand and agree their legal and policy responsibilities for the information that they will be handling.
- 18** All information assets must be identified and recorded; the record must contain: type, location, owner, security classification, format, backup details, license information (where relevant).
- 19** All business critical information assets must have a nominated Information Asset Owner.

Information Security Policy

- 20** Information must be retained and disposed in line with retention and disposal schedules which comply with relevant legislation and Council policy as appropriate.
- 21** Information assets, the loss of which would cause significant damage to Council service delivery, will be formally owned by a Senior Information Risk owner. That person will normally be the individual who has significant operational control of the asset.
- 22** The City Council must document, implement and circulate formal Acceptable Use Policies (AUP) for information assets.
- 23** Databases holding personal information must have documented security and system management procedures which must align with the City Council's notification to the Information Commissioner of its processing of personal data (where relevant).
- 24** Non-public information must be appropriately protected – for example in secure network locations, identified by a risk assessment.
- 25** Confidential waste must be securely destroyed or made unreadable.
- 26** Information security arrangements must be audited regularly to provide an independent appraisal and recommend security improvements where necessary.
- 27** Independent security assessments, where required, must be undertaken on manual and electronic information security practices on an annual basis.
- 28** An on-going information security risk assessment program will be conducted on City Council business functions and services.
- 29** Quarterly vulnerability assessments will be undertaken on GCSx related IT equipment.
- 30** On-going vulnerability assessments will be undertaken on the wider IT estate.
- 31** All buildings used for City Council operations must be assessed for physical security.

Information Security Policy

- 32** Each building must have appropriate control mechanisms in place for the type of information and equipment that is stored there. Control mechanisms could include: alarms fitted and activated outside working hours; window and door locks; window bars on lower floor levels; access control mechanisms fitted to all accessible doors (where codes are utilised they should be regularly changed and known only to those people authorised to access the area/building); CCTV cameras; staffed reception area; protection against damage - e.g. fire, flood, vandalism.
- 33** Access to secure areas such as the data centre and IT equipment rooms must be adequately controlled and physical access to buildings must be restricted to authorised persons. Authorised users working in secure areas must challenge anyone not wearing identification.
- 34** Identification and access tools/passes (e.g. badges, keys, entry codes etc.) must identify and be used by individual authorised users only. These credentials/tools/passes must be returned when no longer required or rendered unusable or both.
- 35** Visitors to secure areas must sign in and out with arrival and departure times noted and be required to wear an identification badge. An employee of the City Council's IT Partner must accompany visitors accessing secure IT areas at all times.
- 36** Keys to all secure areas housing IT equipment and lockable IT cabinets must be stored securely away from their associated secure areas or lockable cabinets.
- 37** Where security breaches in secure areas occur, appropriate processes must be in place. For example, if it is necessary to terminate a users access, this must be achieved promptly and effectively - for example by disabling and recovering access cards and changing door codes.
- 38** All environments must have adequate physical security applied to ensure that information assets are protected against theft, damage or unauthorised access at all times.
- 39** Non-public information must not be disclosed to any other person or organisation using any insecure method.
- 40** The disclosure of non-public information must comply with the law, regulatory requirements and City Council policy. Where regular, business critical disclosures take place, documented disclosure processes must exist.

Information Security Policy

- 41 Where there are reasonable grounds to suspect that non-public information is being handled inappropriately, the manager of the service responsible for that information must be notified, along with the appropriate Senior Information Risk Owner.
- 42 Computers will automatically lock after 5 minutes of inactivity, unless the City Council determines that a longer automatic lockout time should apply after satisfying itself that the information at risk is properly protected by other means.
- 43 Equipment that is to be reused or disposed of must have all of its data and software erased/destroyed in line with government standards. Data removal must be achieved by using Government approved data removing software tools.
- 44 Subsequent removal of equipment must be via a formal, documented process.

ACCEPTABLE USE OF PHYSICAL AND ELECTRONIC INFORMATION POLICY

All users will be told of and be expected to understand, what is acceptable use of City Council computer and telephony resources and manual information systems. This policy also requires basic security precautions (such as making sure desks are clear of non-public information when not attended).

- 1 In all cases, users must act in accordance with the current Electronic Communications Policy ([here](#)) or any modification of it.
- 2 At the end of each working period, every desk will be cleared of all non-public information.
- 3 Non-public information must when not in use be stored in a secure locked cupboard, drawer or other secure storage.
- 4 Non-public information must not be left on or in printers, photocopiers or fax machines at the end of the day.
- 5 Users must ensure that IT equipment is protected against unauthorised access when unattended and that portable equipment is not exposed to theft.

REMOTE AND MOBILE WORKING POLICY

Sheffield City Council will provide users with the facilities and opportunities to work remotely in a secure way as appropriate. This policy deals with risk mitigations related to remote and mobile working.

- 1** The IT Partner will ensure that all data on portable computer devices (including removable media devices) is encrypted to the FIPS 140-2 standard.
- 2** The IT Partner will ensure that an SSL or IPSec VPN is used by remote authorised users to access City Council systems by public networks, such as the Internet. If connecting to GCSx resources, this must be an IPSec-VPN.
- 3** The IT Partner will ensure that all remote and mobile working solutions are secured and architected in accordance with Government guidance.
- 4** Users must be made aware of the physical security dangers and risks associated with working within any remote office or mobile working location.
- 5** Equipment must not be left where it is vulnerable to theft. In the home it must also be located out of sight of casual visitors. For home working it is recommended that an "office area" of the house should be identified and kept separate from the rest of the house.
- 6** Users must ensure that access/authentication tokens, personal identification numbers and portable computers are kept in a separate locations.
- 7** The use of equipment away from a usual work site must be formally approved by the user's manager. Equipment so used is the responsibility of the user and must: be logged in and out, where applicable; and not be left unattended in an insecure area; and (where feasible) concealed whilst being transported; and not be exposed to theft or damage at any point; and where possible, be disguised (e.g. laptops should be carried in less formal bags); and be encrypted if carrying non-public information; and be password protected (where possible); and where appropriate be adequately insured.
- 8** Any lost or damaged IT equipment must be reported to the BIS Service Desk.
- 9** Users who work remotely must ensure that portable computers are connected to the City Council network as frequently as possible and at least once every week to enable security software to be updated.

Information Security Policy

- 10 Users may access GCSx services, facilities or GCSx non-public information using City Council provided IT equipment only.
- 11 Users shall ensure that appropriate security measures are taken to stop unauthorised access to non-public information. In particular, when working in public places, users must ensure that screens are not overlooked.
- 12 Where the City Council permits mobile devices to access GCSX connected networks it will follow the guidance produced by Government Connect.
- 13 Council owned and/or supplied IT equipment must not be taken out of the United Kingdom without prior, written approval.
- 14 Where IT equipment and/or facilities which are not owned/supplied by the City Council are legitimately used to access City Council non-public information, the user of that equipment will be responsible for the security of that information. Users will need to ensure the appropriate configuration and use of firewalls and connectivity (especially wireless networking); the secure disposal of IT equipment; ensuring that other users of the equipment have no access to any City Council non-public information.

REMOVABLE DEVICE AND MEDIA POLICY

Sheffield City Council will ensure the controlled use of removable media devices and removable media, where these are used to store City Council information.

- 1 In view of the risks associated with the use of removable media devices, the City Council will only permit their use temporarily and where exceptional circumstances justify their use.
- 2 Only removable media devices supplied by the IT Partner may be used and they will be appropriately encrypted and protected by a strong password..
- 3 Users must – as far as possible - ensure that removable media devices not connected to the City Council network have up-to-date and active malware checking software prior to connecting those devices.
- 4 Whilst in transit or storage the data held on any removable media devices must be secured according to the classification of data held on it.
- 5 The IT Partner will ensure that it logs the transfer of data files to and from all removable media devices and IT equipment. Users must be made aware that this logging takes place.

Information Security Policy

- 6** The use of removable media devices is prohibited except as provided by this policy.
- 7** Users may ask to be issued with a single removable media device through a process implemented for that purpose.
- 8** No removable media device will be issued unless an application is made by the intended user and approved by their manager and the appropriate Information Risk Owner (if the two are different).
- 9** A business case supporting the issue of a removable media device must be made by the intended user of the device. As a minimum, the case must assert that: the device will permit simple, effective and efficient access to information away from the City Council network; and critical business activities will be adversely affected if the requested device isn't issued.
- 10** A risk assessment supporting the issue of a removable media device must be made by the user. As a minimum this must assert that: the device will be encrypted so unauthorised access will be very difficult or impossible; and it will be further protected by a strong password which will be used in accordance with City Council security policies; and it will be logged into and out of City Council premises; and the user agrees to take special care of the device to minimise the risk of theft or loss.
- 11** Due to the risks associated with removable media devices such as data loss, corruption, destruction or malfunction, devices must not be the only place where data required for City Council purposes is held. Copies of any data stored on removable media must be returned to the live system at the first opportunity, where appropriate.
- 12** Removable media devices must not be used to store non-work information; or to hold City Council information that is not required for work purposes.
- 13** Removable media devices that are surplus or damaged must be disposed of securely, in line with government standards – this must be arranged through the Service Desk.
- 14** Damaged or faulty removable media devices must not be used; the BIS Service Desk should be notified of the damage immediately.
- 15** Prior to re-issue of a removable media device, all data on it must be erased to government (CESG) standards. – this must be arranged through the IT Partner.
- 16** Removable media devices must not to be used for archiving or storing records as an alternative to other storage facilities such as networked file shares.

INFORMATION SECURITY INCIDENT POLICY

Sheffield City Council will ensure that it reacts appropriately to security incidents relating to information controlled by the City Council

- 1** All users must immediately report any actual or suspected breaches in information security that affect business data, or any loss of data in relation to this policy to the BIS Service Desk.
- 2** GCSx related security incidents will, where appropriate, be reported by the City Council to GovCertUK.
- 3** The City Council and the IT Partner will agree and implement an Information Security Incident Management Procedure.
- 4** The City Council and the IT Partner will maintain a proactive and reactive stance in relation to security incidents; both will actively prevent security incidents from arising and have adequate processes in place to deal with any that do.
- 5** The City Council will maintain membership of a suitable Warning Advice and Reporting Point (WARP) where such is available and use other support networks where appropriate.

IT COMMUNICATIONS AND OPERATIONS POLICY

Sheffield City Council will ensure the protection of its ICT service against malware, unauthorised changes, data loss and information leakage.

- 1** Connections to the City Council network infrastructure must only be made in a controlled manner. Network management is critical to the provision of City Council services.
- 2** The IT Partner will ensure that out-of-band administrative console access should be provided wherever possible. Where this is not feasible, encryption (SSH) must be used.
- 3** The IT Partner will ensure that workstations in high risk areas such as desktop computers located in public facing reception areas are risk assessed and encryption applied if appropriate.
- 4** The IT Partner will ensure that all wireless networks are encrypted. The WPA2 security standard (or more secure technology) must be applied, but where this is not possible WPA may be used.
- 5** The IT Partner will ensure that wireless networks are tested for security on an annual basis as part of the annual IT Health Check.

Information Security Policy

- 6** The IT Partner will ensure that no Service Set Identifier (SSID) uses the system default name.
- 7** The IT Partner will ensure that the Service Set Identifier (SSID) does not include the City Council's name or location details in it.
- 8** The IT Partner will ensure that the SSID is: unique; and made up of random letters (upper and lower case), numbers and special characters; and uses at least 12 characters; and is changed at least annually.
- 9** The IT Partner will ensure that Wireless Access Points/Adapters must: have up-to-date firmware and software; and have logging enabled; and be located in a DMZ; and be located where signal strengths meet business requirements.
- 10** The IT Partner will ensure that GCSX audit logs which record exceptions and other security related events are kept for a minimum of six months.
- 11** GCSx audit logs must contain: system identity; and user identification; and records of successful/unsuccessful login; and records of successful/unsuccessful logoff; and unauthorised application access or attempts to gain access; and changes to system configurations; and use of privileged accounts (e.g. account management, policy changes, device configuration).
- 12** The IT Partner will ensure that access to the logs are protected from damage (for example, intentional/unintentional alteration or deletion).
- 13** The IT Partner will ensure that the use made of systems (including GCSX) by authorised users is logged and monitored. The City Council and the IT Partner will agree appropriate logging and monitoring arrangements for each system.
- 14** Sheffield City Council workstation logging (log on/log offs) must be enabled and log files stored centrally.
- 15** The IT Partner will ensure that development and test environments are separate from the live operational environment.
- 16** The IT Partner will ensure that the environments are segregated by the most appropriate controls including, but not limited to: running on separate computers, domains, instances and networks; and different usernames and passwords; and duties of those able to access and test operational systems.
- 17** The IT Partner will ensure that all IT infrastructure components or facilities are covered by capacity planning and replacement strategies.

Information Security Policy

- 18** The IT Partner will ensure that failover implementations meet business requirements and are regularly tested to ensure effective resilience.
- 19** The IT Partner will ensure that IP masquerading is implemented to prevent internal network addresses from being translated and revealed on the Internet, using RFC 1918 address space. Network address translation (NAT) technologies must be used for this process.
- 20** The IT Partner will ensure that the IP address block used for the internal network must be one defined within RFC 1918.
- 21** The IT Partner will ensure that internet facing computing devices or services are subject to and pass, external penetration tests: prior to being made operational; following changes; and in any case at least once each year.
- 22** The IT Partner will ensure that devices or services facing/connecting to the Internet or third party networks are protected by either a managed intrusion detection system or intrusion prevention system.
- 23** The IT Partner will ensure that Intrusion prevention or detection systems receive and implement regular signature updates.
- 24** If implemented, network-based intrusion detection services will be connected to a one-way (Data-In Nothing-Out) network port.
- 25** The IT Partner will ensure that Internet services communicating non-public information are protected by appropriate secure technologies such as TLS/SSL.
- 26** The IT Partner will ensure that all HTTP and SMTP services pass through a proxy server unless other arrangements offering similar levels of security are specially agreed with the City Council.
- 27** All proxy servers will authenticate users and enforce access controls for each of them.
- 28** The IT Partner will ensure that all router configuration files are secured and synchronised (for example running configuration files (used for normal running of the routers) and start up configuration files (used when machines are re-booted) have the same secure configurations.
- 29** The IT Partner will ensure that all firewalls, routers and switches display a notice stating that it is unlawful to enter or attempt to enter the network without proper authorisation and not identifying the IT Partner or the City Council. This notice must appear when unauthorised access to or through the device is attempted.

Information Security Policy

- 30** The IT Partner will ensure that all hosts are security "hardened" to CESG standards. Operating system network services must be reviewed and those services that are not required must be disabled.
- 31** The IT Partner will ensure that hosts run a file system supporting access controls that limit access to only the required operations and data - FAT32 is inadequate for this.
- 32** The IT Partner will ensure that Servers use static IP addresses even if DHCP is used.
- 33** The IT Partner will ensure that elevated privileges such as administration rights are restricted to authorised users based on a business need. Unauthorised accounts with elevated privileges must be removed.
- 34** The IT Partner will ensure that all new computer builds and device configurations are standard and conform to government security standards where available and controls must limit configuration changes that users can make.
- 35** The IT Partner will ensure that applications or Operating System components, services and protocols not required by the City Council are removed or disabled.
- 36** The IT Partner will ensure that regular backups of essential business information must be taken to ensure that the City Council can recover from a disaster, media failure or error. An appropriate backup cycle must be used and fully documented.
- 37** The IT Partner and the City Council will ensure that any third parties that store City Council information are required to ensure that the information is backed up.
- 38** The IT Partner will ensure that data sent or received via GCSx is stored separately from other data.
- 39** All firewalls will be configured according to relevant Government guidance.
- 40** The IT Partner will ensure that public facing web applications are protected by a firewall.
- 41** The IT Partner will ensure that firewalls are installed, appropriately configured and maintained on all computers/devices that may be used to connect to any third party networks or security zones within the City Council network. Users must not be able to disable or reconfigure firewalls or security software.

Information Security Policy

- 42** The IT Partner will ensure that network connections between the City Council network and GCSx are separated by a suitably configured and functioning firewall.
- 43** The IT Partner will ensure that Firewall specifications are chosen according to defined business requirements and must at least meet the E3 (EAL-4) standard.
- 44** The IT Partner will ensure that firewalls are not physically accessible to unauthorised persons.
- 45** The IT Partner will ensure that firewall environments are as simple as possible. Firewalls must: run the minimum necessary services protocols and software; have the fewest ports open (consistent with business need); have superfluous services and software removed or disabled . Standardised secure firewall builds/configurations must be applied.
- 46** The IT Partner will ensure that firewalls apply inbound and outbound filtering, to control traffic to and from the Sheffield City Council network.
- 47** The IT Partner will ensure that firewall configurations are formally documented, securely backed up and operate under strict change control. Requests for changes to firewall configurations must be made via the formal change process and only changes that do not significantly increase security risks may be implemented.
- 48** The IT Partner will ensure that firewall logging is enabled. The firewall logs must be reviewed at least quarterly and protected from unauthorised access/tampering.
- 49** The IT Partner will ensure that there is a formal process for secure backing up of firewall logs.
- 50** The IT Partner will ensure that any firewall system clocks are synchronized with the Sheffield City Council service infrastructure (required services for this must be locked down and not accessible from the Internet).
- 51** The IT Partner will ensure that administrative interfaces for firewalls are: locked down; and have access restricted to the internal management network; and use secure protocols; and use strong authentication resistant to brute-force attacks; and use strong passwords; and are not exposed to the public network.
- 52** The IT Partner will ensure that there is no use of generic firewall “administrator” accounts.
- 53** The IT Partner will ensure that firewall alerts are sent to the support team which is responsible for monitoring the firewall.

Information Security Policy

- 54** The IT Partner will ensure that the firewall implementation and rule-set is tested (to ensure effective rule implementation) at least every quarter.
- 55** The IT Partner will ensure that Insecure Internet Control Message Protocol (ICMP): traffic is restricted to prevent unauthorised mapping of the firewall and its rule-set; and broadcasts are neither routed nor responded to; and both redirects and timestamp requests are ignored.
- 56** The IT Partner will ensure that properly configured and maintained firewalls are in place on mobile computers and computers accessing GCSx systems and data.
- 57** The IT Partner will ensure that source routing is disabled.
- 58** The IT Partner will ensure that “any – any” firewall rules are prohibited.
- 59** The IT Partner will ensure that up to date anti-malware software/hardware is fully operational on all Sheffield City Council computer equipment wherever possible.
- 60** The IT Partner will ensure that anti -malware solutions are configured to actively check for and eliminate, malicious software activity; in particular, removable media devices and their contents must be scanned when they are connected to computer equipment.
- 61** The IT Partner will ensure that where conventional anti-malware solutions are not available, for example on some UNIX based systems, other counter-measures must be applied. These must be agreed in advance and must take into account the relevant CESG standards.
- 62** The IT Partner will ensure that all new computer code to be used by the City Council is scanned for malware before being moved into production or being transmitted or stored on the Sheffield City Council network.
- 63** The IT Partner will ensure that a regularly reviewed and tested malware incident response procedure is in place.
- 64** The IT Partner will ensure that, as far as possible, all data entering or leaving the City Council's network is scanned for malware; this includes, for example, email and downloaded Internet content.

Information Security Policy

- 65** Where malware is detected on a system, the user of that system must report this to the BIS Service Desk immediately.
- 66** The IT Partner will ensure that service packs and patches for 3rd party applications are applied as appropriate.
- 67** The IT Partner will ensure that all IT equipment has critical software patches applied as soon as they become available and have passed any necessary testing. All other patches must be applied as appropriate. A patch management scheme, approved by the City Council must be put in place, adhered to and maintained.
- 68** Software which cannot be patched must not be used.
- 69** An annual health check of all City Council IT infrastructure systems and facilities must be commissioned by the IT Partner . This health check must include as a minimum: a penetration test of Internet facing services and equipment; a network summary that will identify all IP addressable devices; network analysis, including exploitable switches and gateways; vulnerability analysis, including patch levels, poor passwords and services used; exploitation analysis; a summary report with recommendations for improvement.
- 70** Removable computer media (e.g. tapes, disks and cassettes) used for backup purposes must be protected to prevent damage, theft or unauthorised access. Where couriers are required to transport backup media, a list of reliable and trusted couriers must be established. If appropriate, controls such as encryption or special locked containers must also be used.
- 71** Backup media stores must be kept in a secure environment and appropriate arrangements must be put in place to ensure future availability of data that is required beyond the lifetime of the backup media.
- 72** Storage media that is no longer required must be disposed of safely and securely in line with Government standards to avoid data leakage.
- 73** Any previous contents of any reusable storage media that are to be removed from the City Council network must be securely erased to Government standards.
- 74** Documented and appropriately detailed operating procedures must be used in all day to day maintenance of Sheffield City Council IT systems and infrastructure in order to ensure the highest possible service from these assets.

Information Security Policy

- 75** Changes to the City Council's IT systems must be controlled with a formally documented change control procedure. The change control procedure must consider and include: A description of the change and business reasons for it; and information concerning the testing phase; and impact assessments including information security, operations and risk; and formal approval process; and communication to all relevant people of the changes; and procedures for aborting and rolling back if problems occur; and process for tracking and audit.
- 76** All Directorates and Service areas must inform the BIS Service Desk of any new product requirements or of any upgrades, service packs, patches or fixes required to existing systems. All new products must be purchased through the IT Partner.
- 77** New information systems, product upgrades, patches and fixes must undergo an appropriate level of testing prior to acceptance and release into the live environment. The acceptance criteria must be clearly identified, agreed and documented and involve management authorisation.
- 78** Full backup documentation, including a complete record of what has been backed up along with the recovery procedure, must be stored at an off-site location in addition to the copy at the main site and be readily accessible. This must also be accompanied by an appropriate set of media tapes and stored in a secure area. The remote location must be sufficiently remote to avoid being affected by any disaster that takes place at the main site.
- 79** Full documentation of the recovery procedure must be created and stored. Regular restores of information from back up media must be tested to ensure the reliability of the back-up media and restore process and this must comply with the agreed change management process.
- 80** System documentation must be protected from unauthorised access. This includes bespoke documentation that has been created by Business Information Solutions or the IT Partner. This does not include generic manuals that have been supplied with software.
- 81** Effective version control must be applied to all documentation and documentation storage.
- 82** IT Operational staff and IT system administrators must maintain a log of their activities. The logs must include: back-up timings and details of exchange of backup media; and system event start and finish times and who was involved; and system errors (what, date, time) and corrective action taken.

Information Security Policy

- 83 The IT operational staff and IT administrator logs must be checked regularly to ensure that the correct procedures are being followed.
- 84 All computer clocks must be synchronised to ensure the accuracy of all the systems audit logs as they may be needed for incident investigation
- 85 Where appropriate, controls must be put in place to protect data passing over the computer network (e.g. encryption).
- 86 A Mail Transport Agent (MTA), capable of sending and receiving mail using SMTP in accordance with RFC822 must be used.
- 87 All e-mail sent to lower protectively marked GSi domains and the Internet must be routed via the central GSi mail relay using the organisation's GSi connection.
- 88 If the City Council wishes to connect to other Public Sector networks that are connected to the GSi the appropriate Government Connect change control process will be used.
- 89 If the City Council wishes to use VOIP (voice over IP) it will consider the NIST Security Considerations for Voice Over IP Systems guidance
- 90 The network architecture must be documented in the form of a schematic diagram detailing the networks that will utilise the GCSx connection. This diagram MUST document all onward connections, remote access connections and stored with configuration settings of all the hardware and software components that make up the network. All components of the network must be recorded in an asset register.

DEFINITIONS

Term	Meaning
Government Connect Secure Extranet GCSx	An accredited and secure computer network between central government and all local authorities
Information asset	Any definable "set" of information the use of which is critical to support business activity

Information Security Policy

Term	Meaning
Information Asset Owner	The officer with significant control over and responsibility for, an information asset. An Information Asset Owner must be an employee whose seniority is appropriate for the value of the asset they own. The Information Asset Owner's responsibility and the requirement for them to maintain the asset must be formally agreed with the relevant Senior Information Risk Owner.
Information Governance and Security Team	Information Management Officers employed in the Business Information Solutions service
Information Risk Owner	The officer who owns and is responsible for mitigating the information risks for a defined work area.
Information security incident	An adverse event that has caused or has the potential to cause damage to an organisation's assets, reputation and/or personnel. Incident management is concerned with intrusion, compromise and misuse of information and information resources, and the continuity of critical information systems and processes. Examples of information security incidents: unauthorised disclosure, theft or loss of information and/or equipment; inappropriate or excessive use of the Internet; unauthorised access to IT service or data including compromised password, password sharing or poor password management; inappropriate content detected on computer, device or network; detection or introduction of malicious code; inappropriate or excessive use of corporate email.
IT infrastructure components	Examples include: File servers; Domain servers; E-mail servers; Application Servers; Web servers; Printers; Networks; Environmental controls including air conditioning.
IT Partner	Any person or organisation in a contractual relationship with the City Council to provide IT services of whatever description.
Malicious software or malware	Software designed to infiltrate, damage, change or control computer systems without lawful authority or the owner's consent. Common examples include: worms, viruses, Trojans, spyware.
Manager	In the case of staff, their manager; for others, the member of City Council staff responsible for their access to City Council information or systems

Information Security Policy

Term	Meaning
Non-public information	Is any information that may not be disclosed by the Council to a particular persons for legal reasons. For example you cannot normally see someone else's health records.
Public information	Is any information freely available to anyone such as Council leaflets, application forms, advertisements and so on
Removable media	Data storage media such as: CD; DVD; other optical discs; media cards (including Smart Cards and Mobile Phone SIM Cards); removable computer backup devices; audio tapes.
Removable media devices	Any electronic device containing data storage capability which cannot be removed from the device. Examples include: External Hard Drives; USB Memory Sticks (also known as pen drives or flash drives); MP3 Players; Personal Digital Assistants (PDA's)
The Director	The Director of Business Information Solutions (Chief Information Officer)
User	Anyone formally authorised by the City Council to use Information Assets

Policy Compliance

Failure to comply with these policies is a serious matter and users may be subject to criminal, civil or employment related sanctions (for example the misconduct process).

If aspects of this policy are not fully understood, users should talk to their manager. Guidance and support provided by the [Information Governance and Security Team](#) (01142736891).

Policy Governance

The following table identifies those accountable, etc for this policy.

Responsible – means: the person(s) responsible for developing and implementing the policy.

Accountable – means: the person who has ultimate accountability and authority for the policy

Consulted – means: the person(s) or groups to be consulted prior to final policy implementation or amendment

Informed – means: the person(s) or groups to be informed after policy implementation or amendment

Responsible	The Information Governance and Security Team
Accountable	The Director
Consulted	Everyone who is authorised by the City Council to use any system containing information provided for, owned, controlled or administered by the City Council
Informed	Everyone who is authorised by the City Council to use any system containing information provided for, owned, controlled or administered by the City Council

11. Terms of Reference Policy

Board Terms of Reference Policy

Governance Arrangements

Strategic Board

The Strategic Board is about strategic direction, major developments and an oversight of the effectiveness of the Contract. It is not involved in the management of the Contract unless matters of a serious nature are escalated to it.

The Strategic Board will meet quarterly and have responsibility for ensuring that the partnership is operating successfully. The primary objectives and functions of this Board are to:

- (a) Provide a strategic overview to ensure long term requirements and issues are properly considered and resolved
- (b) Ensure that the objectives of the contract are met over the full term of the contract
- (c) Ensure that an ethos of working in partnership is developed and maintained
- (d) Ensure that the contract is aligned with all parties business objectives
- (e) Ensure that effective communication is taking place with all stakeholders and at all levels
- (f) Discuss the potential impact of proposed changes to the Contract
- (g) Agree annual improvement targets and plans ensuring continuous improvement in terms of both cost and service improvement
- (h) Resolve any serious matters escalated by the Management or Service Operations Boards.
- (i) Ensure that all other Authority partnerships impacting on or interfacing with the contracted services are included in the review of strategies and that services remain within the scope of the contracts procured specific to each partnership.

Management Board

The Management Board is about the performance management of the Contract and Service provision, it is not about how the Service Provider manages their Service.

The Management Board will meet monthly and has responsibility for ensuring that Performance Requirements are being achieved, risks being jointly managed, that the payment mechanisms are being properly operated, and that a high performance relationship and culture is developing. The primary objectives and functions of this Board

are to:

- (a) Review key performance indicators and where necessary to agree and monitor improvement plans
- (b) Agree payments due were linked to performance
- (c) Resolve issues or escalate up to Strategic Board where appropriate
- (d) Drive strategic requirements through to operational plans in terms of efficiency, service improvement and mandatory (legislative changes)
- (e) Work with Service Provider and/or Authority clients/other business partners to identify new opportunities to deliver benefits
- (f) Create a high performance relationship and culture through partnership working ensuring that the appropriate structures, values and working practices are in place and being improved
- (g) Ensure the proper governance processes are in place across all aspects of the contract operation within both the Authority and partner organisations

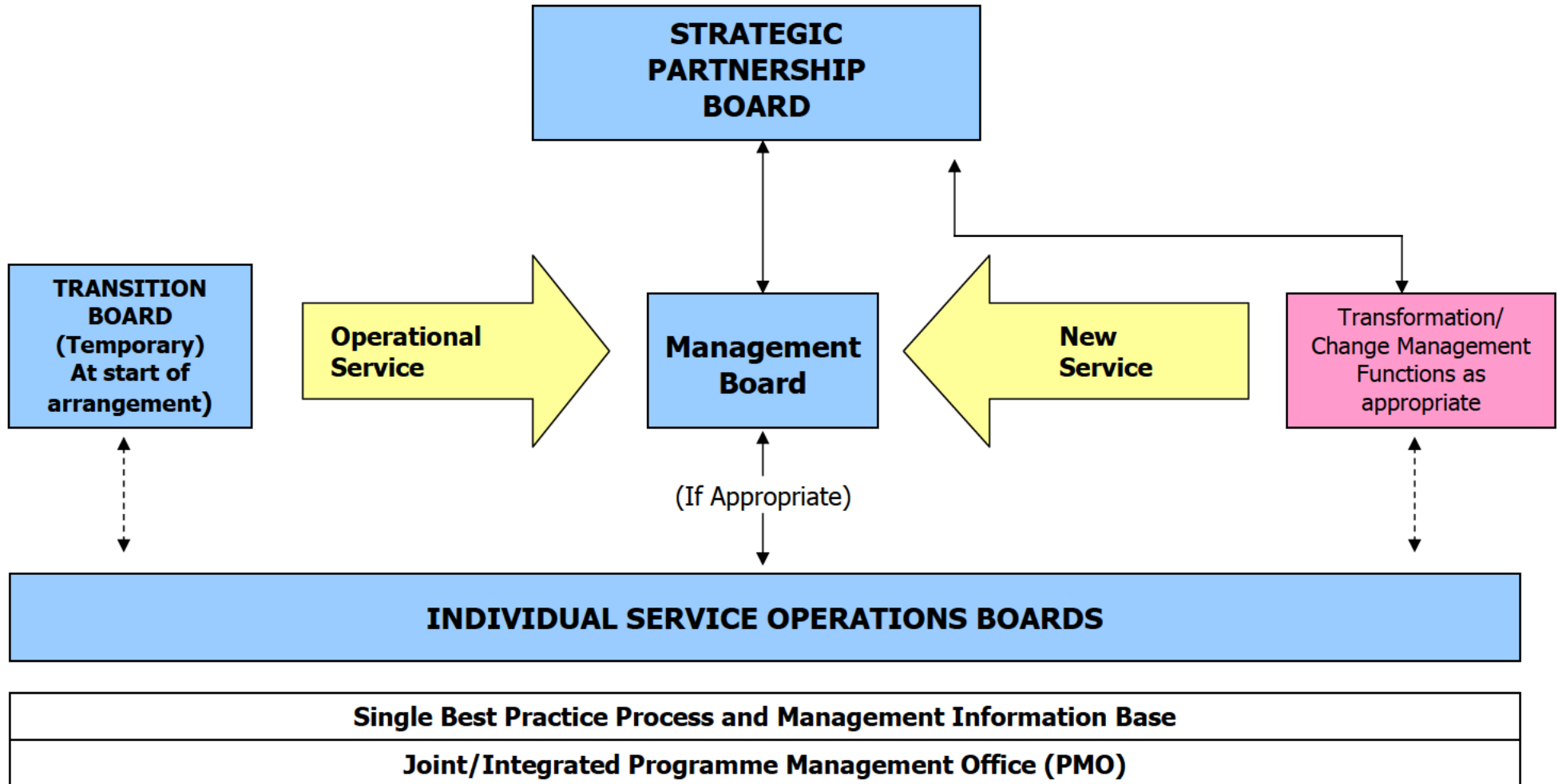
Service Operations Board

The primary objectives and functions of the Service Operations Board is to:

- (a) Review service specific performance indicators and management reports, agreeing and monitoring improvement plans where necessary
- (b) Agree the performance related payment mechanism outcomes and making payment recommendations to the Management Board
- (c) Resolve operational issues, variations etc and where necessary escalate to the Management Board
- (d) Ensure effective operational interfaces are in place between Authority and Service Provider
- (e) Drive operational plans to show continuous improvement in efficiency and service, and to deliver mandatory changes
- (f) Ensure that appropriate partnership working arrangements are in place both with the Service Provider and end user
- (g) Ensure that proper governance and service assurance processes and operational checks are in place within both the Authority and Service Provider
- (h) Ensure appropriate management of budget and demand for service area.

Generic Commercial Governance Framework

Table 1



12. Authority's Customer Charter

Customer Charter

We asked you what customer service standards you would like. These standards reflect what you said you want. You can expect our staff to keep to them.

You want us to be professional

- We will do what we promise to do, on time.
- We will be welcoming, friendly, helpful and polite.
- We will treat you with respect.
- We will treat you fairly.
- We will know our services and know how to help you.

You want us to give you correct information

- We will make sure that any information we give you is correct and answers your question as fully as possible.
- We will tell you who is dealing with your question and what is happening with it.
- We will offer a range of ways in which we can communicate with you.

You want us to respond quickly

- When you contact us, we will try to deal with your question or complaint straight away.
- If this is not possible, we aim to give you an answer within seven days.
- If your question or complaint is more complicated and we need more time, we will write to you to tell you what is happening and we will reply to you in full within 28 days.
- If you leave a message on our answerphone, we will respond to you within one working day.
- If you have an appointment, we will see you on time.
- The timescales for responding to Members Casework/Service Complaints are attached at paragraph 11.3 of Appendix 1 (Protocol for Member/Officer Relations)

You want us to be easy to get in touch with

- We will clearly display opening times in all our reception areas and will be open at those times.
- If you phone us on any of the numbers we have listed in our A-Z Guide to Public Services and in your local phone book, we will answer your call within 20 seconds.
- We will put you through to the right person to deal with your question. If the person is not available at that time, we will pass your question to the right person for them to deal with it and they will contact you.
- We will offer you a range of ways to contact us.

In return, we ask that you:

- let us know if something goes wrong;
- tell us if your personal circumstances change as this may affect whether you are entitled to services;
- keep any appointment you have made with us (if you cannot do so, please let us know); and
- be considerate and polite.

APPENDIX 1 PROTOCOL FOR MEMBER / OFFICER RELATIONS

Summary

The Protocol seeks to encourage a greater understanding and best practice of the various relationships between Members and Officers of all levels of the Council.

This Protocol supplements but does not supplant other codes, procedures and protocols agreed by the Council that regulate the conduct of Members and Officers and should be read in light of the duties and expectations, for example those responsibilities set out in the Member and Officer Codes of Conduct.

Mutual respect between Members and Officers is essential to good local government. Close personal familiarity between individual Members and Officers can damage the working relationship. The nature and complexity of the relationships means that this protocol cannot be exhaustive. If any Member or Officer is unclear about a particular aspect of this protocol they should contact the Monitoring Officer.

It applies whenever Elected Members and Officers are undertaking the Council's business in public and private meetings.

This protocol also applies to voting non-elected members of committees. The Council expects Parish Members and Officers to adopt and adhere to the principles of the Protocol.

The Standards Committee and the Monitoring Officer are to oversee review of this protocol and make recommendations for changes as appropriate. This Committee is to invite Members and Officers to check how the protocol is working after the first 18 months.

1. DEFINING THE MEMBER AND OFFICER ROLES

Mutual trust and respect are essential in setting the right tone for effective working relationships between Members and Officers.

Both Officers and Members

- Adhere to respective Codes of Conduct and uphold ethics and values of the Council
- Are accountable for decisions and actions
- Maintain confidentiality as appropriate
- Act as an Ambassador for the Council
- Continually develop knowledge and skills – keep up to date on Council policy and performance
- Represent the Council on external bodies and provide feedback

A Quick Guide to the Distinct Roles

Members	Officers
Account to the electorate	Accountable to the Council
Community Leader/representative role for a Ward	Serve the whole Council [with the exception of the 2 Political Advisers appointed under statute.]
Add a political dimension	Be politically impartial
Set high level policy strategy and make high level decisions	Provide guidance on policy. Ensure operational delivery
Do not influence recommendations of reports but may at formal meetings, accept or reject recommendations	Produce reports and make recommendations
Are involved in senior appointments/dismissals	Day to day staff management
Regulate certain activities	Implement decisions
Scrutinise and review decisions – for example by Leader and Cabinet and hold them to account	Provide evidence and information to assist Scrutiny

Key Officer Roles

Statutory Posts Certain Senior Officers hold posts with mandatory statutory responsibilities including the Chief Executive, the Monitoring Officer (Deputy Chief Executive), appointed under Section 5 of the Local Government and Housing Act 1989 and the Chief Finance Officer (Director of Corporate Resources) appointed under Section 151 Local Government Act 1972. Members must respect these responsibilities and accept that these Officers may be required to give advice or make decisions which Members may not agree with or support.

The Monitoring Officer role includes responsibility for reporting to the Council and to the Executive any case where s/he is of the opinion that a proposal or decision of the authority has given rise to or is likely to or would give rise to any illegality, maladministration or breach of statutory code and for investigating any such reportable incident including allegations of breach of Members standards of conduct.

The Chief Finance Officer (Section 151 Officer) role includes responsibility for the strategic arrangements for the administration of the Council's financial affairs, delivery by the whole authority of good financial management to safeguarding public money and ensuring it is used appropriately, effectively, efficiently and economically.

The Executive Directors are individually responsible for their portfolio of services and collectively responsible for management of staff their work and delivery of Council functions and priorities.

Directors manage the service for which they have responsibility, ensure that the statutory responsibilities are properly discharged on a day to day basis, account for the efficiency and effectiveness and professional practice of their service.

Officers and Members have day to day responsibilities for adhering to the rules of procedure and the financial regulations in the Constitution which are there to protect the whole Council.

To further understand roles, Members and Officers refer to the Constitution and easy to read role profiles, job descriptions and induction materials

In reality, there are grey areas, where Members and Officers need to work together and for this reason, it is important to set out ways of working - expectations, relationships and communications.

2. THE PROFESSIONAL RELATIONSHIP

A Guide to Expectations

In forging an effective working relationship, Members and Officers will have certain basic expectations of each other. Much of this is about ensuring high standards of behaviour and acting within a clear framework of ethical governance.

Members and Officers Expectations

Courtesy

It is important that Members and Officers are courteous to each other at all times, even if they disagree strongly with each others views

Bullying

Members and Officers must not bully any person. Bullying may be characterised as offensive, intimidating, malicious, insulting or humiliating behaviour. Such behaviour may happen once, or be part of a pattern of behaviour. Members may from time to time become frustrated by what they regard as unacceptable or incompetent Officer behaviour. It is self-evident that sometimes these feelings may be entirely justified although sometimes there may be a legitimate reason why Member expectations cannot be met – for example, due to Council Policy or a legal requirement.

In these circumstances, Members are to take up their concerns through the Directors or the Chief Executive as set out in the dispute procedure described in this document, rather than through public criticism. They must bear in mind that Officers are instructed not to ‘answer back’ in public.

Member and Officer Development

Members and Officers should participate in the Council’s development programme, which is core to their role and to undertake individual learning and development discussions.

Members should participate in the Core Development Programme for induction, safeguarding, ward and community assemblies, regulatory committees such as planning, and licensing and scrutiny committees.

What Members can expect from Officers

Officers Do	Officers Don't
Pursue lawful policies and comply with the Officers' Code of Conduct	Deviate from the Constitution, legal or contractual obligations
Promote equality, serve all Members equally with dignity, respect and courtesy, regardless of political group or position	
Comply with legal duty to provide professional advice, impartiality and implement Council policy	Allow their personal or political opinions to interfere with their work or professional judgement and advice
Avoid close personal familiarity with Members and follow guidelines on Personal Relationships	Form friendships, close relations with Members
Follow Council procedures for dealing with Member enquires effectively efficiently and within set timescales – as listed in 11.3	
Act with integrity and appropriate [<i>not absolute</i>] confidentiality	<ul style="list-style-type: none"> • Seek to improperly to influence Members; • Improperly disclose information received from one Member to another; or • Raise their personal circumstances or those of another directly with Members. Personal issues that might be raised with a Ward Member should be raised in a private capacity outside of work time.
Respect each other's free (i.e. non-Council) time	
Be prepared to justify and give reasons for decisions made under delegated powers;	
Report the least suspicion of fraud, corruption or impropriety	Conceal any information which it is proper for them to disclose (particularly where they have a duty to reveal it);

What Officers can expect from Members

Members Do	Members Don't
Comply with the Members' Code of Conduct – ensuring the highest standards of behaviour	
<p>Promote equality and treat all Officers with dignity and respect.</p> <p>Members are to comply with the equality laws prohibiting discrimination, harassment and victimisation</p> <p>Chairs of meetings are expected to apply the rules of debate/procedures to prevent abusive or disorderly conduct</p>	<p>Subject individuals to unreasonable or excessive personal attack</p> <p>Undermine respect for Officers in public meetings, the media or at any other time when dealing with Council business;</p>
<p>Only ask Officers to provide professional advice on matters that clearly arise from being an elected Councillor;</p> <p>Respect impartiality and integrity of Officers and do not compromise it</p> <p>Respect Officers' free (i.e. non-Council) time.</p>	<p>Ask Council Officers to improperly spend Council time or resources for political purposes.</p> <p>Insist an Officer changes his/her professional advice</p>
Provide political leadership and direction, making timely decisions	<p>Get involved in day to day management</p> <p>Ask Officers to breach Council procedures or policy when acting on behalf of constituents</p> <p>Put pressure on an Officer on matters which have been delegated for Officer decision. A Member who behaves in this way may lead Officers to make decisions that are not objective and that cannot be accounted for</p>

Members Do	Members Don't
	Not to seek special or adverse treatment for themselves or any individual by use his/her position as a Member nor improperly to gain an advantage or disadvantage for his/herself or any other person when dealing with Council Officers
Apply appropriate confidentiality to information	
Report the least suspicion of fraud, corruption or impropriety	Instruct Officers to take actions which are unlawful, financially improper or likely to amount to maladministration. Members have an obligation under their Code Of Conduct to have regard, when reaching decisions, to any advice provided by the Monitoring Officer or the Chief Finance Officer.
Where relevant to casework or a decision, declare any special relationships/personal interests with constituents to relevant Officers and/or constituents. Where the relationship causes a conflict of interests, Members will ask another Ward Member to assist.	

3 THE EMPLOYMENT RELATIONSHIP

- 3.1 Members should recognise and have regard for their role as employer as part of “the Council”. The policies that govern equalities and employment relations apply equally to Members and Officers for example ‘*Dignity and Respect at Work*’.
- 3.2 Issues relating to appointment, management and dismissal of most Officers are reserved by law to the Chief Executive or his/her nominated representative. Members may be involved in the appointment of Chief Officers or Deputy Chief Officers or in employment appeals.

When Acting in this Capacity Members

Do	Don't
Observe the law, standing orders, policies and procedures in relation to all appointments, discipline and dismissal of Officers.	
Declare any interest they have and ensure that they act to protect the public interest	Take part in any process where friends, relatives or Members of their household are somehow involved
Maintain appropriate confidentiality	
Attend relevant learning and development	
Make decisions based on merit and with access to all the facts	Seek improperly to influence decisions
Promote equality	Canvass support for any candidate for a job
<i>Take continuing responsibility for their appointment decisions once the post holder is in place.</i>	

4. PERSONAL RELATIONSHIPS

- 4.1 Personal familiarity between Members and Officers can undermine public confidence in the Council.
- 4.2 It is important that close relationships between Members and Officers are openly declared.
- 4.3 Close working relationships should never be allowed to become so close, or appear to become so close as to bring into question the Officer's ability to deal impartially with another Member or other party groups, nor to undermine public trust and confidence in the Council.
- 4.4 Where possible Members and Officers who have close personal relationships should try to avoid coming into contact on projects and in the day-to-day business of the Council.
- 4.5 Member and Officers must declare to the Chief Executive any relationships, which might be seen as influencing their work. This includes any family, business or sexual relationships.
- 4.6 The Chief Executive will advise both the Member and the Officer of the need to avoid creating any appearance of improper conduct on their part.

5. THE POLITICAL RELATIONSHIP/ OFFICER ADVICE TO PARTY GROUPS

- 5.1 Council Officers must be politically neutral in their work for the Council and some depending on their role may be restricted in law from political activity.
- 5.1.1 In their dealings with party groups, Officers must treat each group in a fair and even-handed manner.
- 5.1.2 Officers will only attend political group meetings on request made to the Chief Executive or Executive Director and when the business of the meeting is related to the City Council's functions. Normally only Senior Officers should attend group meetings.
- 5.1.3 Officers have the right to refuse such requests if they do not relate to the functions of the City Council, and will normally not attend a meeting of a party group where some of those attending are not Members of the City Council.
- 5.1.4 Such meetings shall be held at reasonable times and locations and should last no longer than a working day or three hours if held in the evening.
- 5.1.5 Officers who provide information or briefing papers to a political group meeting must make the same information available to all political groups. Officers should avoid including any confidential or personal information in such briefings. Normally cross-party meetings shall be arranged so that the information is presented to and discussed with all the parties simultaneously.
- 5.1.6 Officer support will not extend beyond providing factual information or professional advice in relation to matters of Council business. Officers must not be involved in advising on matters of party business, and therefore should not be expected to be present at meetings or parts of meetings when such matters are to be discussed.
- 5.1.7 Where Officers provide factual information and advice to a party group in relation to a matter of Council business this is not a substitute for providing all the necessary information and advice when the matter in question is formally considered by the relevant part of the Council.
- 5.1.8 It will not be assumed that an Officer is supportive of a particular policy or view considered at a party group meeting simply because he/she has attended or provided information to the meeting.
- 5.1.9 Party group meetings are not empowered to make decisions on behalf of the Council. The presence of an Officer confers no formal status on such meetings in terms of Council business and must not

be interpreted as doing so. Conclusions reached at these meetings do not rank as Council decisions.

- 5.1.10 At party group meetings where some of those present are not Members of the City Council, care must be taken not to divulge confidential information relating to Council business. Persons who are not Members are not bound by the Members' Code of Conduct, in particular the declarations of interest and confidentiality provisions. They do not have the same rights to Council information as Members.
- 5.1.11 Discussions between Officers and Members on policy issues are quite proper and Officers may wish to seek political guidance in framing policy proposals. However when Officers write Cabinet or committee reports for Member decision, they have a duty to give their best professional advice and set out their options available.
- 5.1.12 Party political groups have no right to instruct Officers to amend or change reports or their content. Decisions by Members on Officer reports should be made in the correct decision-making forum based on clear factual and legal advice. Officers are fully responsible for the content of any report submitted in his/her name.
- 5.1.13 Officers in certain posts are statutorily prohibited from having any involvement in political activities. A list of these positions is set out at Appendix F of the Officers' Code of Conduct. All Officers are required to ensure that Council resources are not used for party political purposes.
- 5.1.14 Should a Senior Officer attend a group meeting they will respect the confidentiality of any party group discussions at which they are present and, unless requested to do so by that party group, will not relay the content of such discussions to another party group or to any other Members. This shall not prevent an Officer providing feedback to other Senior Officers on a need-to-know basis.
- 5.1.15 No Member will refer in public or at meetings of the Council to confidential advice or information that may prejudice the Council's position given by Officers to a party group meeting.
- 5.1.16 Any particular cases of difficulty or uncertainty in relation to this part of the protocol should be raised with the Chief Executive and the relevant party group leader.

6. OFFICER /THE EXECUTIVE (LEADER AND CABINET)/CHAIR RELATIONSHIPS

- 6.1 Executive Directors and other Senior Officers are expected to work closely with Members of the Executive, and Shadow Cabinet Members, Chairs and to meet regularly with them. Officers and Members must avoid the working relationship becoming so close that it could call into question the Officer's ability to deal impartially with other Members and political groups.
- 6.2 Members of the Executive may have individual decision making powers under the Executive scheme of delegation. However all reports shall set out the consultation undertaken by Officers in drawing up the report. Officers should also offer comparable briefings to other political groups.
- 6.3 Executive Directors must only act under the delegated authority of a Member of the Executive where that Member has followed the correct decision making procedure and can support his or her decision with an appropriate written report, complete with alternative options and reasons for the recommended decision.
- 6.4 The Executive will take decisions in accordance with the Constitution and will not otherwise direct staff. Senior Officers will be responsible for instructing staff to implement the Executive's decisions.
- 6.5 Senior Officers, the Leader and Executive Members shall agree mutually convenient methods of regular contact.
- 6.6 An individual Executive Member who is minded to write or commission a report or to make a decision about a matter within his/her portfolio must ensure that those other Members and Officers who need to know of the matter are so informed. Where a report deals with cross cutting issues there may be more than one Executive Members with relevant delegations who should also be party to the report.
- 6.7 Officers taking decisions under their delegated powers must, where appropriate, inform the relevant Executive Member(s) of their intentions in advance when the matter to which the decision relates is likely to be sensitive or contentious, or has wider policy implications.

7. COMMITTEES

- 7.1 Committee decisions cannot by law be made by the Chair alone but by the committee collectively. The Chair should not seek to influence Officers to reduce the options or withhold information which s/he should properly report to a committee.
- 7.2 The appropriate Senior Officers will offer to arrange regular informal meetings with chair and vice-chair of committees and sub-committees.

7.3 Senior Officers (including the Monitoring Officer and the Chief Finance Officer) have the right to attend meetings and to present reports and give advice to committees and sub-committees.

7.4 Members of a committee or sub-committee shall take decisions within the remit of that committee or sub-committee, and will not otherwise instruct Officers to act.

Chairs, Vice Chairs and Members of the relevant committee should accept briefings from the relevant Senior Officer to inform decision making for complex or technical cases/items or where there is new national legislation or guidance.

7.5 At some committee or sub-committee meetings, a resolution may be passed which authorises a named Officer to take action between meetings in consultation with the Chair or other Members. In these circumstances it is the Officer, not the Chair, who takes the action and is responsible for it. A Chair has no legal power to take decisions on behalf of a committee or sub-committee, neither should he/she seek inappropriately to influence the Officer.

8 OVERVIEW AND SCRUTINY

8.1 Chairs and other leading overview and scrutiny Members shall maintain regular contact with the Officer(s) providing the principal support to the overview and scrutiny function. In consultation with Chairs, it shall be the responsibility of the latter to ensure that those who need to know of matters being considered or for possible future consideration are so informed.

8.2 Any overview and scrutiny body may require Officers to attend overview and scrutiny meetings. Appropriate Officers are expected to attend. All requests should be made to senior Officers in the first instance. It is important to remember that it is the decision of the Executive which is subject to Scrutiny. If a Cabinet decision is called in for Scrutiny, the Cabinet Member should attend Scrutiny.

8.3 It is recognised that Officers required to attend an overview and scrutiny body may often be those who have advised the Executive or another part of the Council on the matter. In these circumstances, an Officer may have a conflict of interest. Both Members and Officers need to consider the severity of the conflict. If deemed appropriate, research and advice may be sought elsewhere for example from the Council's overview and scrutiny team or externally.

8.4. Subject to the point above, Officers should be prepared to justify advice given to the Council, the Executive, or other committees and sub-committees even when the advice was not accepted.

8.5 In giving evidence, Officers must not be asked to give political views.

- 8.6 Overview and scrutiny proceedings must not be used to question the capability or competence of Officers except as set out in the Petitions Scheme. Chairs and Members need to make a distinction between reviewing the policies and performance of the Council and its services, and appraising the personal performance of staff. The latter is not an overview and scrutiny function.
- 8.7 In exercising the right to call-in a decision of the Executive, overview and scrutiny Members should seek Officer advice if they consider the decision is contrary to the Council's approved plans, policies or frameworks, or is unlawful.

9. PUBLIC MEETINGS

- 9.1 If an Officer calls a public meeting, consultation exercise or launch event organised by the Council concerning a local issue, then the Officer will invite all Members for the Ward or Wards in question.
- 9.2 If any of the Local Members of Parliament are involved in the local issue, the Officer at his or her discretion may invite the MP to the meeting in addition to the Ward Members but if it is considered inappropriate for any reason he or she may meet the MP separately.
- 9.3 If a Ward Councillor calls or requests a meeting on a local issue at which an Officer(s) is/are requested to be in attendance the Officer(s) will be required to attend only if all the Councillors for the Ward have been invited to attend, or are agreeable to the meeting taking place, and if the subject matter of the meeting is not politically controversial.
- 9.4 Similarly if an MP calls or requests a meeting upon a local issue which an Officer or Officers is/are requested to be in attendance the same criteria govern the Officers attendance.
- 9.5 Meetings with Ward Councillors and/or MPs and others are generally private except where such meetings are arranged and set up by or under the auspices of the Community Assemblies. Accordingly, Officers may confirm the events which occurred at such private meetings and the outcome of it with Members who attended but will not reveal these matters to other Members or to other Political Groups except with the specific authority of the Members who attended or called the meeting.
- 9.6 Information regarding activities in a particular Ward, should when appropriate, be copied to the Ward Councillors/Community Assembly Members for information.
- 9.7 Officers presenting at public meetings are to fully prepare for these meetings by taking advice from the Lead Manager – for example the Community Assembly Manager or Lead Director. Officers need to know what is specifically required, time slots available and key questions that have already been raised by Members/the public on this topic.

10. SUPPORT SERVICES TO MEMBERS AND POLITICAL GROUPS

- 10.1 The only basis upon which the City Council can lawfully provide support services such as secretarial support, stationery, typing, printing, photocopying, transport, etc., to Members is in order to assist them discharging their role as Members of the Council.
- 10.2 Such support services must therefore only be used on Council business and must not be used in connection with any party political or campaigning activity or for private purposes.

11. COMMUNICATIONS

11.1 Correspondence

- 11.1.1 Correspondence between an individual Member and an Officer should not normally be copied by the Officer to any other Member. Where exceptionally it is necessary to copy the correspondence to another Member this should be made clear to the original Member. In other words a system of “blind” or “silent copies” should not be employed.
- 11.1.2 Official letters written on behalf of the Council dealing with Council business should normally be in the name of the relevant Officer. It may be appropriate in some circumstances (e.g. representations to a Government Minister) for letters to appear in the name of the Leader or a Cabinet Member, Chair of an overview and scrutiny committee or Community Assembly.
- 11.1.3 Letters which create legally enforceable obligations or which give instructions on behalf of the Council should never be sent in the name of a Member. Only certain Officers have delegated powers to create legal relations and all Officers must follow standing Orders if entering into contractual arrangements.
- 11.1.4 It is appropriate for Members to pass correspondence to Officers and ask them to respond on behalf of the Council. It is not appropriate for Officers to draft responses for Members to send out. Officers may only correspond for and on behalf of the Council in matters of Council business and not on behalf of the individual Member. Officers can provide Members with technical, Council information, which is used by Members as part of their correspondence.
- 11.1.5 Members should correspond in their own name. When writing in an individual capacity, Members must make clear that fact.

11.2 Email Communications

- 11.2.1 Members and Officers are to follow the Council's Electronic Communications Policy and are not to use electronic communications (emails or texts) to store/send materials or requests, which are offensive, bullying or causes offence to others.
- 11.2.2 Where Members and Officers receive any electronic communications, which may breach the Council's Codes of Conduct or other Council policies and /or the law, they must follow the advice in section 16 on what to do when things go wrong.
- 11.2.3 When considering sending emails to third parties, such as community groups, Members and Officers must be make a clear distinction between what is:-
- Public information and can be shared with third parties
 - Internal Council Business and is confidential

11.3 Casework/Service Complaints

- 11.3.1 For casework queries and service complaints, Members are to direct these to the relevant Director. Officers are to acknowledge the enquiry and if possible provide a response within 3 working days. If the enquiry requires some investigation and further work, Members should be informed about this and then the response is to be available within 10 working days.
- 11.3.2 Members can escalate any service issue to the Chief Executive or the Deputy Chief Executive if they remain dissatisfied with the matter after referral to the Director.

12. PUBLICITY AND DEALING WITH THE MEDIA

- 12.1 Officers will not publish or assist in publishing material designed to affect public support for any political party this is to ensure compliance with the Local Government Act 1986, which prohibits such activities.
- 12.2 All formal publicity material produced by the Authority will state the Council's position and not an individual's view or personal position. Publicity should not be liable to misrepresentation as being party political.
- 12.3 All formal relations with the media must be conducted in accordance with the Council's agreed procedures and the Code of Recommended Practice on Local Authority Publicity.

- 12.4 Officers should inform the Council's press office of issues likely to be of media interest, since that unit should be the media's first point of contact. Before responding to enquiries from the media, Officers shall ensure they are authorised to do so.
- 12.5 Press releases or statements made by Officers must be factual and consistent with Council policy, may promote or provide information about Council services, linked into corporate priorities and should be drafted in consultation with the Communications Team. All formal media releases will be issued by the Communications Team.
- 12.6 Officers will keep relevant Members informed of media interest in the Council's activities, especially regarding strategic or contentious matters.
- 12.7 The Council has a policy of helping the media to access the factual information that they need. Requests for comments or opinion on Council policy or political matters should be referred to the appropriate Cabinet Member, and the names of group spokespersons and Ward Councillors shall be publicly available and made available to journalists upon request.
- 12.8 Press releases may quote the Leader, Deputy Leader, the appropriate Cabinet Member or their designated deputy, Chair or Vice-Chair of a Council committee or body. The Council may issue press releases on behalf of those listed above in connection with Council priorities and policies but will not otherwise issue press releases, letters to newspapers, etc, on behalf of Elected Members although Officers will be available to provide information which a Councillor needs for their own correspondence with the media.
- 12.9 If a Member is contacted by, or contacts, the media on an issue, he/she should:
- indicate in what capacity he/she is speaking (e.g. as Ward Member, in a personal capacity, as an Executive Member, on behalf of the Council, or on behalf of a party group);
 - be sure of what he/she wants to say or not to say;
 - if necessary, and always when he/she would like a press release to be issued, seek assistance from the Council's press office and/or relevant Senior Officer, except in relation to a statement which is party political in nature;
 - consider the likely consequences for the Council of his/her statement (e.g. commitment to a particular course of action, image, allegations of jumping to conclusions);
 - never give a commitment in relation to matters which may be subject to claims from third parties and/or are likely to be an insurance matter;
 - consider whether to consult other relevant Members; and
 - take particular care in what he/she says in the run-up to local or national elections to avoid giving the impression of electioneering, unless he/she has been contacted as an election candidate or political party activist.

13. PRE ELECTION RULES ON PUBLICITY

- 13.1 For a Member is fighting an election the Code of Recommended Practice on Local Authority Publicity should be followed.
- 13.2 The general rule is that a local authority must not at any time publish any material that in whole or in part appears to be designed to create support for a political party.
- 13.3 Pre Election this is even more sensitive and particular care needs to be taken to ensure that publicity could not be perceived as seeking to influence or to promote the public image of a particular candidate or group of candidates. During the Purdah period Officers rather than Members should be quoted on news releases about Council initiatives, facilities and services.
- 13.4 Individual Councillors can generate their own publicity during this period subject to their own party's protocols but public funds must not be used to campaign to promote a particular point of view that could be associated with a political initiative. The Council restrictions only apply to official Council organised publicity including press releases or events.
- 13.5 Council events that cannot be re-scheduled for operational reasons must be arranged to ensure that there is no likelihood of criticism arising that the real purpose of the event is to publicise one particular party.
- 13.6 Council functions such as Cabinet may continue during the period.
- 13.7 Council staff must always be careful not to give the impression of supporting a political party, set of policies or candidate. Council resources may not be used at any time to support party political activity. Officers must not engage in political activity during working hours or with Council facilities. Some staff hold politically restricted posts which limit the political activity they can be involved in outside work.

14. MEMBERSHIP OF ORGANISATIONS

- 14.1 Members and Officers are both required to declare in writing to the Monitoring Officer their membership of any organisation not open to the public that requires formal membership and oaths of allegiance and which has secrecy about rules, membership or conduct. A definition of what constitutes a secret society is appended to this protocol and is essentially the same as that already attached to the Officer Code of Conduct.
- 14.2 The expectation of the City Council is that Members will declare publicly any such involvement. However such interests will not be included on the Register of Members Interests.

15. MEMBERS ACCESS TO INFORMATION AND TO COUNCIL DOCUMENTS

- 15.1 Members are entitled to approach any Council Department to provide them with such information, explanation and advice with regard to that Department's functions as they may reasonably require in order to assist them in discharging their role as Elected Members. This can range from a request for general information about some aspects of a Directorate or Service's activities to requests for specific information on behalf of a constituent. Such approaches should normally in the first instance be directed to the Head of the Service or the Executive Director for the Directorate.
- 15.2 A Member's legal rights to inspect Council Documents are partly covered by Statutes including Data Protection Act 1998 and Freedom of Information Act 2000, Local Government Act 1972 and Environmental Regulations 2005 and partly by decided case law.
- 15.3 Briefly, Members have a statutory right to inspect any Council document which contains material relating to any business which is to be transacted at a Council, Cabinet Meeting, Scrutiny Committee or Statutory Committee. Such right applies irrespective of whether the Member is a Member of the Body concerned and extends not only to reports which are to be submitted to the meeting but also to any relevant background documentation. Such right does not however apply to documents relating to items which are deemed to be exempt from publication. Such matters are those which contain exempt information relating to Employees, Occupiers of Council property, Applicants for grants and other services, the care of children and vulnerable adults, contracts, industrial relations negotiations, legal advice including Counsel's Opinion and criminal or conduct investigations.
- 15.4 Decided case law gives Members a somewhat broader right to documentation based on the principle that any Member has a prima-facie right to inspect Council documents "so far as his/her access to documents is reasonably necessary to enable the Member properly to perform his or her duties as a Member of the Council". Members will recognise this as the "need to know" principle.
- 15.5 The exercise of such right depends upon a Member's ability to demonstrate that he/she has got a need to know. This does not entitle a Member to make speculative enquiries sometimes referred to as "a fishing expedition" i.e. mere curiosity is not sufficient. The crucial issue is the determination of whether that Member has a need to know.
- 15.6 In certain instances, i.e. an Elected Member wishing to inspect documents relating to the functions of the Body on which they serve, then there is a presumption that such Member has already got a need to know. However in other instances for example a Member wishing to inspect documents that contain personal information about third parties, then that individual Member would be required to justify the request in specific terms.

- 15.7 Whilst the expression “Council Document” is very broad and includes for example any document produced from Council resources a Member of one Party Group will not have a “need to know” and therefore a right to inspect a document which forms part of the internal workings of another Party Group.
- 15.8 Where Officers consider access should be refused and Members disagree, or vice versa, the decision should be made by the relevant Head of Service or Executive Director. This decision should be informed by best practice guidance to local authorities provided by the Information Commissioners Office.
- 15.9 Officers and Members must follow the Council’s Information Security Policy which controls how Council information is managed. Members and Officers should be aware of the significant consequences of losing or wrongly disclosing information.
- 15.10 Finally, and very importantly **any Council information provided to a Member must only be used by the Member for the purpose which it was provided**, i.e. in connection with the proper performance of a Member’s official duties.

The Model Code of Conduct says that a Member must not disclose information given to them in confidence or information that they believe to be confidential, without consent of the authorised person, unless very specific requirements are met such as they are required to do so by law.

Members are to take advice from the Monitoring Officer before releasing any confidential information or refusing access to information that a person is entitled to by law.

- 15.11 Further and more detailed advice regarding Members’ right to inspect Council documents may be obtained from the Director of Legal Services.

16. WHAT TO DO WHEN THINGS GO WRONG

Officers Concerns about Members

If an Officer feels that they have been asked/told to do things that appear to be outside the Member Code of Conduct or this Protocol:-

- Officers are to raise the issue with appropriate senior manager. Officer, Manager and Member to have informal discussion; a record to be retained of salient points and actions.
- If the conduct continues or is disputed. Officer may refer the complaint to Monitoring Officer who will arrange for the Executive Director to investigate and report recommendations back in writing to Officer, Member and Monitoring Officer within a reasonable period of time.

- If informal procedures do not reach a satisfactory conclusion Officer may consider using the Whistleblowing Procedure set out in the Officers' Code of Conduct or where an Officer feels a Member has breached the Code of Conduct, in particularly serious cases and with the advice of the Monitoring Officer referral of the matter to the Standards Committee.

Members Concerns about Officers

If a Member feels that an Officer has acted in a manner that is contrary to this protocol:-

- Members are to raise the matter with Officer and Officer's line Manager. Member and Officer and Manager to have informal discussion as soon as reasonably practicable. Manager to retain a record of salient points and actions.
- If the conduct continues or is disputed. Member may refer the complaint to the Monitoring Officer who will arrange for the Executive Director to investigate and report recommendations back in writing to Member, Officer and Monitoring Officer within a reasonable period of time.
- The manager may decide that appropriate disciplinary action is required, he/she will notify the Monitoring Officer who will decide in consultation with the relevant Human Resources Officer whether formal action as set out in the Officers' Code of Conduct and Part B of Standing Orders should be taken.

Members Concerns about Senior Officers

- If the complaint concerns a Statutory Officer or Executive Director the complaint may be referred to the Chief Executive for the preliminary investigation and decision which will then be given to the Member concerned.
- Where a complaint relates to the Chief Executive both the Chief Executive and the Member concerned shall consider whether a meeting facilitated by the relevant whip or party leader could resolve the situation.
- In all situations the Officer can involve their Trade Union representative and only managers in consultation with the relevant Human Resources Officer will decide whether formal action should be taken.