

# HEALTH AND SAFETY POLICY

September 2025

<b>Authorship:</b>	Strategic Director of Legal & Governance and Monitoring Officer (interim)
<b>Committee Approved:</b>	Chief Executive (Head of Paid Service)
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The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.0	Strategic Director of Legal & Governance and Monitoring Officer (interim)	New Policy	Chief Executive (Head of Paid Service)	XX/09/2025	N/A

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## 1 Introduction

This Policy is intended to reflect the views of Hull and East Yorkshire Combined Authority (hereafter referred to as the HEYCA). It sets out the health and safety statement, as well as the details of the organisation and arrangements that have been implemented, in order for the HEYCA to comply with the [Health and Safety at work Act \(1974\)](#). This policy is supported by several documents that offer guidance about specific health and safety issues and should be read in conjunction with the supplementary health and safety policies approved by HEYCA.

## 2 Purpose

The HEYCA aims to provide all staff, visitors and others involved in the business of the organisation with a safe environment in which to be able to work or visit, without suffering any personal injury or ill health (physical or mental wellbeing). It recognises the need to identify significant health and safety-related hazards and implement any necessary measures in order to eliminate or reduce any associated risks of harm, damage or loss.

The HEYCA aims to prevent or reduce the nature and severity of all workplace accidents, the spread of infectious diseases and any dangerous occurrences in line with [RIDDOR - Reporting of Injuries, Disease and Dangerous Occurrences Regulations \(1995\)](#).

All employees are expected to co-operate with the policy and ensure they comply with any statutory duties under health and safety legislation. Management and staff will work proactively together to ensure that all plans, procedures and systems of work are designed to take full account of health and safety issues. This will include:

- i) arrangements for a safe place of work
- ii) maintenance of equipment
- iii) safe handling of substances and articles
- iv) the assessment of any risks, and
- v) sufficient information, instruction, and training for staff to ensure they comply with their individual statutory duties.

The HEYCA Chief Executive (Head of Paid Service) accepts overall responsibility for health and safety at the HEYCA. They have responsibility for the wellbeing of all staff within the HEYCA, visitors and others involved in the business of the HEYCA, within their respective work areas. In line with [The Management of Health and Safety at Work Regulations \(1999\)](#), the HEYCA also retains a competent person to assist in complying with its statutory health and safety duties.

Signed:

Interim Chief Executive (Head of Paid Service)  
Hull and East Yorkshire Combined Authority

September 2025

### **3 Scope of the policy**

This policy applies to HEYCA and all its employees and must be followed by all those who work for the organisation. This includes all permanent members of staff, members of the HEYCA Board and its committees, those on temporary or honorary contracts, secondments, pool and agency staff, contractors and students, as well as others involved in the business of the HEYCA.

To reflect the increasing balance between traditional working environments and agile/mobile working and working from home, consideration is needed to ensure that these alternate styles of working do not put individuals at greater risk of harm. This is as far as reasonably practicably covered by this Policy, together with the associated documents referenced in section 10.

Failure to comply with these requirements can have serious consequences for both organisations and individuals. Sanctions include fines, imprisonment and disqualification under the [Corporate Manslaughter and Corporate Homicide Act \(2007\)](#). An offence can be committed where failings by an organisation's senior management are found to be a substantial element in any gross breach of duty of care owed by the organisation's employees or members of the public, which results in death. The maximum penalty is an unlimited fine and the court can additionally make a publicity order requiring the organisation to publish details of its conviction and fine.

### **4 Duties / accountabilities and responsibilities**

#### **4.1 Duties within the organisation**

This section sets out the duties within HEYCA for the responsibility for the development and management of this policy.

#### **4.2 Chief Executive (Head of Paid Service)**

This is the person with overall accountability / responsibility for health and safety within HEYCA. They retain responsibility for the following:

- The production and dissemination of a written policy
- The provision of sufficient resources to implement the Health and Safety Policy
- Ensuring all employees are fully aware of their statutory responsibilities and that these responsibilities are fulfilled
- Ensuring that the HEYCA complies with all statutory health and safety requirements.
- The appointment of a Health and Safety Lead at Board level to ensure considered decision making at a strategic level
- Ensuring reports on accident statistics, trends and remedial measures are reported on.

#### **4.3 Executive Director Lead**

The Health and Safety Executive Director Lead at HEYCA is the Strategic Director of Legal & Governance and Monitoring Officer. They have the following delegated responsibilities:

- ensuring the integration of good health and safety management with business decisions
- ensuring that arrangements are made for consultation with staff-side accredited health and safety representatives (if present) and all employees in the workplace

- reporting on accident statistics, trends and remedial actions, including an annual report to the Audit Committee
- ensuring health and safety policies and procedures are developed and implemented across the HEYCA
- ensuring appropriate health and safety advice and support is available including suitably trained first aid staff and fire wardens

#### **4.4 Other HEY CA Directors**

The day-to-day responsibility for health, safety and welfare is delegated to HEYCA directors. They hold responsibility for the wellbeing of all staff, service users, contractors, visitors or others involved in the business of the HEYCA within their respective work areas. In line with [The Management of Health and Safety at Work Regulations \(1999\)](#), they must ensure:

- the implementation of the Health and Safety Policy, corporately and within their areas of control
- effective delegation of safety responsibilities within their areas of responsibility
- effective support for their managers' decisions and recommendations in terms of the provision of appropriate resources for health and safety
- the promotion of a positive health and safety culture which enables all employees to fulfil their statutory duties
- that staff have adequate training and experience to safely undertake their duties
- the development and implementation of emergency procedures that may be relevant to their areas of responsibility

#### **4.5 Line Managers**

All line managers within HEYCA must undertake the following:

- ensure regular inspections of workplace equipment are undertaken and that steps are taken to eliminate, minimise or manage any identified hazards
- undertake risk assessments as required and See Appendix 2, where there is significant risk to health and safety, consider control measures to mitigate or reduce the risk. Employees should be made aware of the results of any assessments before they are exposed to such risks
- ensure the robustness of any health and safety documents used within their teams, including timely reviews of such documents and any risk assessments
- ensure that all staff are provided with training and adequate supervision as is considered appropriate for them to perform their work safely
- develop safe systems of work to reduce the risks of personal injury and / or damage to equipment and monitor the performance of these system
- ensure the reporting and investigation of all accidents and incidents and take appropriate measures to prevent reoccurrence. Identifying why the existing control measures failed and what improvements or additional measures are required
- identify and address work-related health problems, considering referral for occupational health support

- ensure procurement where necessary of any appropriate Display Screen Equipment (DSE) and personal protective equipment (PPE) to enable an employee to safely carry out their duties
- ensure any visitors, contractors or others involved in the business of HEYCA adhere to the prescribed health and safety standards of the organisation

#### **4.6 Employees**

All employees of HEYCA are required to:

- take reasonable care of their own health and safety and that of others who may be affected by their acts or omissions
- undertake their tasks as instructed, in line with any risk assessment findings and training
- report to their line manager any health and safety concerns, including the activities of outside visitors, contractors or others involved in the business of the HEYCA
- not misuse or interfere with any equipment, adaptive kit or technologies provided for use of a specific person to ensure safe working practice in the workplace
- report any accident / incident involving injury, damage to plant or equipment, or potential injury damage or loss on the HEYCA Incident reporting Portal.
- co-operate with and assist other colleagues and management in implementing this Health and Safety Policy
- co-operate with this policy to ensure they comply with any statutory duties under health and safety legislation

#### **4.7 HEYCA Health and Safety Adviser (HEYCA Competent Person)**

In order to meet the requirements of Health & Safety law. The HEYCA appoints a 'competent person' in the role of Health and Safety Adviser. A 'competent person', otherwise known as a Health and Safety Adviser, is someone who has sufficient training, experience, knowledge and other relevant qualities to enable them to competently advise the HEYCA in meeting its safety obligations. In particular, they are responsible for:

- providing the HEYCA with professional advice, support and guidance on all health and safety matters including substances hazardous to health, slips, trips and falls and manual handling
- attending, as necessary, any HEYCA meetings to raise awareness of health and safety
- using the standard assessment procedures in the case of control of substances hazardous to health (COSHH) and, in consultation with any safety representatives and staff, assess the risks to health and recommendations where further specialist advice should be sought

#### **4.8 IOSH Trained competent persons**

[The Management of Health and Safety at Work Regulations \(1999\), Regulation 7](#) requires every employer to appoint one or more competent persons to assist with putting measures in place to ensure legal compliance. The person is regarded as competent if they have 'sufficient training and experience or knowledge and other qualities to properly assist the employer to meet their safety obligations.'

#### **4.9 Fire Safety Adviser**

The Fire Safety Adviser will ensure processes, policies and procedures are in place to comply with statutory requirements such as [The Regulatory Reform \(Fire Safety\) Order \(2005\)](#). They will:

- ensure that regular reports are presented to the HEYCA, informing it of the current state of fire safety in premises for which the HEYCA is responsible. The regular reporting will ensure that fire-related incidents are reported and investigated, and actions are taken to mitigate any risks and address any issues identified from this process
- receive reports following fire risk assessments and ensure that action is taken to mitigate risks and address the issues identified
- review and revise, where appropriate, all policies and procedures relating to fire safety

#### **4.10 Fire Safety Managers and Fire Wardens**

Fire Safety Managers are provided in compliance with [The Regulatory Reform \(Fire Safety\) Order \(2005\)](#). They are responsible for co-ordinating fire safety plans to make sure people on or around their individual premises are safe, ensuring the advice and recommendations provided by the Fire Safety Adviser are implemented in full throughout the organisation.

In line with the requirements of the Regulatory Reform (Fire Safety) Order 2005, fully trained building-based Fire Wardens form part of the HEYCA's strategy to evacuate all occupants within a tenanted building. They support the Fire Safety Manager in this role.

Any HEYCA staff who may be based, temporarily or otherwise, in other locations are required to work to the requirements of the Fire Policy for the site in which they are based. any issues and concerns. Issues that cannot be satisfactorily resolved at site level will be escalated to their director.

#### **4.11 First Aid at Work**

In line with [The Health and Safety \(First-Aid\) Regulations \(1981\)](#), the HEYCA will ensure through the risk assessment process that adequate first aid provisions are made to deal with any injuries sustained by staff, visitors, contractors or others involved in the business of HEYCA whilst at the workplace. Where it is assessed as being necessary, competent first aiders at work will be appropriately trained and supported to carry out their roles. Names and locations of specific first aiders will be prominently displayed in the workplace. The qualified first aider will be responsible for replenishing the stocks and maintaining the contents of the first aid box(s).

#### **4.12 Occupational Health Provider**

The HEYCA has procured occupational health services. The provider delivers a full, professional occupational health service, which includes staff support and guidance, counselling, health surveillance and pre-employment screening.

#### **4.13 Infection Prevention and Control**

The HEYCA has procured Infection prevention and control services. The provider delivers a full professional infection prevention and control service which includes staff support and guidance.

## 5 Consultation

### Health and Safety Group

In line with the [Health and Safety at Work Act \(1974\)](#), the HEYCA will engage with its staff on health and safety matters and in order to:

- promote partnership working between management and staff in initiating, developing, and implementing improvements to ensure effective employee health and safety
- work towards the creation of a workplace environment that secures the health, safety and welfare of all persons working for and on behalf of the HEYCA and to recognise the impact on health, safety and welfare of any organisation engaged by or working with the HEYCA
- promote the use of and contribute to safe working practices and systems of work and to promote and contribute to the safety of all persons entering onto HEYCA premises for whatever reason
- provide strategic and local direction on health and safety matters
- analyse incident statistics and risk reports, in conjunction with their causal factors and action plans, to ensure the HEYCA has effective arrangements for assuring health and safety management
- ensure that management of health and safety plans are complementary to the overall Risk Management Strategy
- work toward the establishment of a positive health, safety and welfare culture throughout the HEYCA which contributes to all aspects of service delivery by actively encouraging good practice in both individual and group behaviour
- contribute to and support planning and execution of work activities, promoting reasonable co-operation between all employees
- monitor the effectiveness of this Health and Safety Policy and contribute to its revision, where necessary
- conduct an annual audit of the safety provisions within the HEYCA and the implementation of any recommendations arising from such an audit

Where desirable, the HEYCA will facilitate a forum where managers will consult staff regarding any health and safety matters, in good time, before the introduction or change of legislation, new equipment or new technology. It also allows staff representatives to communicate with managers in order to raise health and safety issues that may be of concern, and which cannot be resolved at a local level.

Staff-side members are accredited Trade Union Safety Representatives of recognised Trade Unions and as such are entitled to carry out their role and functions as detailed in [The Safety Representatives and Safety Committees Regulations \(1977\)](#).

## 6 Training

The HEYCA will ensure, via its recruitment process and subsequent training programme (both internal and external), that all members of staff have the appropriate level of competence to be able to safely carry out their role throughout their period of employment. Every manager must ensure that new members of staff joining their teams complete all

required statutory and mandatory health and safety related training within the first three months of commencement of employment.

Mandatory training for all staff on minimising risk includes information on health and safety and risk assessment processes. Various health and safety e-learning packages are also available. These packages include COSHH, Fire Safety, Manual Handling and DSE.

Local managers / supervisors must ensure that all staff are competently trained in the safe use of any equipment they may be tasked to use during the course of their employment. This will include any update training and any further training necessary as a result of any changes in the workplace arising from the introduction of new procedures and / or new equipment and in accordance with identified training needs analyses. Health and safety training records for all staff will be held by the organisation. I

The HEYCA will provide assurance to the Audit Committee, not less than annually, on the maintenance of controls, and assurances with respect to those controls, for health and safety.

## **7 Monitoring Compliance**

### **7.1 Proactive monitoring**

The HEYCA Chief Executive (Head of Paid Service) and directors will ensure that health and safety is monitored via audits and inspections. This will support the overall health and safety planning and assist in promoting a positive health and safety culture. The involvement of Trace Union health and safety representatives in this process will be encouraged.

### **7.2 Reactive monitoring**

Monitoring of injuries, ill-health and other loss events will take place, as necessary, to complement active monitoring. This monitoring process will involve both managers and safety representatives. The investigation of such accidents / losses, together with analysis of incidents, will be used as a tool to identify causation, reduce future incidents and to assess the effectiveness of the policy arrangements. The HEYCA Chief Executive (Head of Paid Service) and directors will ensure that such reactive monitoring is undertaken on an organisation-wide basis.

### **7.3 Audit and review**

Health and safety incidents will be reported in the first instance in accordance with the HEYCA's policy for reporting and managing incidents. A quarterly consolidated incident report will be presented to the HEYCA Health and Safety Group.

Risk Assessments will be reviewed annually and will be monitored by the Health and Safety Adviser. Risks identified may be inserted into the HEYCA risk register, where judged appropriate.

Audits will be conducted in accordance with the Annual Audit Plan and results will form the content of the Annual Audit Report.

In addition, the following are used to monitor the contents and outcomes of this policy:

- Health and Safety audits
- Health and Safety group action notes
- Risk Register
- Incident reports
- complaints
- RIDDOR reports

## 8 Arrangements for review

This policy will be reviewed every two years or sooner, as appropriate, in light of legislative or organisational changes or as a result of any significant incident.

## 9 Dissemination

The Chief Executive (Head of Paid Service) will ensure through the HEYCA's line management arrangements, that health and safety considerations are included in any future business planning. Directors will ensure appropriate cascading of health and safety objectives throughout their area of responsibility in order to ensure that the needs of the organisation are identified, prioritised and that appropriate resources are allocated.

Policy documents are available via the HEYCA SharePoint:

[Insert link](#)

Annual reports will be provided from building audits, collated and subsequently presented to the HEYCA Audit Committee to provide assurance that reviews are taking place.

## 10 Associated documentation.

Display Screen Equipment (DSE) Policy  
 Fire Safety Policy  
 First Aid Policy  
 Agile/Hybrid Working Policy  
 Control of Substances Hazardous to Health (COSHH) Policy  
 Manual Handling Policy  
 Incident Policy  
 Security Policy  
 Violence and Aggression Policy  
 Driving at Work Policy  
 Equality Policy

## 11 References

- [Health and Safety at work Act \(1974\)](#)
- [The Management of Health and Safety at Work Regulations \(1999\)](#)
- [Workplace \(Health, Safety & Welfare\) Regulations \(1992\)](#)
- [The Control of Substances Hazardous to Health Regulations 2002](#)
- [Provision and Use of Work Equipment Regulations 1999](#)
- [First Aid at Work Regulations 1981](#)
- [Display Screen Equipment \(DSE\) Regulations 1992](#)

- [Regulatory Reform \(Fire Safety\) Order 2005](#)
- [Safety Representatives & Safety Committee Regulations 1997](#)
- [Reporting of Injuries, Diseases & Dangerous Occurrences Regulations \(RIDDOR\) 1995](#)
- [Health & Safety Executive \(HSE\) Website](#)
- [Equality Act \(2010\)](#)
- [Human Rights Act \(1998\)](#)
- [Equality Duty \(Public Sector\) \(2011\)](#)

## 12 Appendices

Appendix 1 - Anti-Fraud, Bribery and Corruption

Appendix 2 - When should a risk assessment be carried out.

## 13 Impact Assessments

### 13.1 Equality

HEYCA is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an Integrated Impact Assessment (IIA) be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of HEYCA.

The IIA toolkit can be found at ([insert link](#)).

Potential adverse impact on any protected group identified through the QEIA will be monitored as part of the routine work to monitor compliance with the policy.

### 13.2 Bribery Act (2010)

Due consideration has been given to the [Bribery Act \(2010\)](#) in the development (or review, as appropriate) of this policy document, further details can be found in appendix 1.

### 13.3 General Data Protection Regulations (GDPR)

The UK General Data Protection Regulation (GDPR)/ Data Protection Act 2018 includes the requirement to complete a Data Protection Impact Assessment for any processing that is likely to result in a high risk to individuals. Consideration should be given to any impact the policy may have on individual privacy; please consult HEYCA Data Protection Impact Assessment Policy. If you are commissioning a project or undertaking work that requires the processing of personal data, you must complete a Data Protection Impact Assessment.

The HEYCA is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the Data Protection & Confidentiality Policy and related policies and procedures.



## **Appendix 1 - Anti-Fraud, Bribery and Corruption**

### **BRIBERY ACT (2010)**

The HEYCA follows good business practice as outlined in the Business Conduct Policy and the Conflicts of Interest Policy and has robust controls in place to prevent fraud, bribery, and corruption. Under the Bribery Act (2010) there are four criminal offences:

- Bribing or offering to bribe another person (Section 1)
- Requesting, agreeing to receive, or accepting a bribe (Section 2).
- Bribing, or offering to bribe, a foreign public official (Section 6).
- Failing to prevent bribery (Section 7).

## **Appendix 2 - When should a risk assessment be carried out?**

A workplace risk assessment is a systematic process of examining a particular work-related job, task, or activity, to identify any hazards and the risk of someone being injured. A risk assessment should also include any controls needed to eliminate or reduce any risk. The scenarios below are not exhaustive but illustrate common circumstances where a risk assessment should be considered.

### **Changes to people or their circumstances**

What are the impacts or risks if the staff carrying out the work change? A change to the staff undertaking a task may alter the risks involved and a new or reviewed risk assessment should be considered.

If there is high staff turnover, then the less experienced or new staff may require more frequent checking against the risk assessment, and training provided in safe working practices where necessary.

Where an employee is pregnant or breastfeeding, additional risk assessment should be undertaken with regards to their and their unborn child's health and safety. (Regulation 16, Management of Health, and Safety at Work Regulations 1999).

### **When starting new activities**

A risk assessment should be carried out in advance of implementation of a new activity or process. By documenting the risks along with the control measures required, and communicating this activity, you will be following best practices and helping to keep your staff safe.

### **Changes to activities**

Any change to the existing tasks or processes will require a new risk assessment. It may simply be a case of reviewing and amending the existing risk assessment to ensure the hazards are controlled to a suitable level. However, a fresh assessment should give due regard to whether the activity is carried out in a different environment with new challenges and hazards. Equally, consideration should be given to the impact of new technology, materials or substances if they are being introduced in the revised activity or process.

This will need to be documented and communicated to evidence and acknowledge the potential new risks from the changes in activity.

# Display Screen Equipment Policy

September 2025

<b>Authorship:</b>	Strategic Director of Legal & Governance and Monitoring Officer (interim)
<b>Committee Approved:</b>	Chief Executive (Head of Paid Service)
<b>Approved date:</b>	22/10/2025
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<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority and its Committees and Sub-Committees, staff, agency, and temporary staff and third parties under contract
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# 1 Introduction

The Health and Safety (Display Screen Equipment) Regulations 1992, as amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002, specify the minimum safety and health requirements for work with display screen equipment (DSE).

The organisation recognises that its duties to employees using display screen equipment are also covered in the Health and Safety at Work etc. Act 1974 and further regulations which include:

- [Management of Health and Safety at work Regulations 1999](#)
- [Workplace \(Health, Safety and Welfare\) Regulations 1992](#)
- [The Provision and Use of Work Equipment Regulations 1992](#)

## 2 Purpose

To provide Hull and East Yorkshire Combined Authority (HEYCA) with a framework through which it can take all reasonably practicable steps to assist staff, visitors and contractors in preventing health problems associated with the use of DSE, such as musculoskeletal disorders (MSD), fatigue and stress, psychosocial issues, through the good ergonomic design of equipment, furniture and the working environment.

Due account is also needed to ensure that new hybrid models of working, such as 'hot-desking,' mobile working and working from home, do not put the individual at greater risk from:

- Work related upper limb disorders (WRULD's)
- Stress/physical fatigue
- Visual fatigue
- Backache
- Headache

This policy, together with the associated documents referenced in section 12, is designed to prevent, as far as reasonably practicable, adverse health effects to HEYCA employees and others to whom it owes a duty of care from working with display screen equipment.

## 3 Scope of the policy

HEYCA will take all reasonable steps to ensure the health and safety of employees who work with DSE.

- To ensure that managers recognise their responsibility to safeguard the health and Safety of "users" of DSE as delegated to them by the organisation.
- To ensure that adequate training and briefing on the Health and Safety (Display Screen Equipment) Regulations 1992 as amended 2002 is given to all applicable staff.
- To ensure senior staff, managers, designated competent persons or equivalent persons, assess and control risks arising from the use of display screen equipment in the organisation.

## 4 Definitions

### 4.1 Workstation

- The screen itself (any computer or terminal screen)
- Any optical accessories to the display screen equipment
- Any disk drive, telephone, modem, printer, scanner, work chair, work desk, work surface, document holder, footrest, or other peripheral to the display screen
- The immediate work environment around the display screen equipment

### 4.2 Display Screen User

It will be appropriate to classify the person concerned as a “user” if they normally use display screen equipment for continuous or near-continuous spells of an hour or more at a time and use it this way daily and fulfil a significant number of criteria listed below:

- The individual depends on the use of DSE to do the job, as alternative means are not readily available for achieving the same results.
- The individual has no discretion as to the use or non-use of the DSE to do the job.
- The individual needs training and / or skills in the use of DSE to do the job.
- Fast transfer of information between the user and screen is an important requirement of the job.
- The performance requirements of the system(s) demand high levels of attention and concentration by the user, for example where the consequences of error may be critical.

The decision on whether the person concerned is a “user” must be made by the relevant line manager

### 4.3 Rest Breaks

- Users of DSE must take adequate breaks away from the screen. The rest breaks should be 5 minutes every 30 minutes or 10 minutes every hour.
- Breaks away can be replaced by other duties such as filing, using the photocopier, making telephone calls or dealing with visitors.
- The purpose of the break is to prevent the onset of fatigue and therefore it is expected that users will take advantage of changes of activity if possible.

## 5. Training and information

All Staff/Users will be provided with health and safety information related to working with DSE via this policy. This should include the recognition of hazards and risks and what actions can be taken to reduce these. The policy will be made available on the Intranet.

DSE e-learning has been mandated by HEYCA Executives to all HEYCA staff; this training will be recorded and maintained by managers, for new staff at the start of their employment and refreshed every 3 years subsequently.

The **e-learning** program provides an informative approach to the risks associated with DSE work and the knowledge of how ergonomic principles can be adopted to reduce some of the risks encountered. The program will look at the potential ill-health effects of working with DSE and how good posture and simple effective solutions can be applied.

All those who are defined as ‘users’ under the DSE Regulations (see definition under ‘Scope’) are required to complete the mandatory training.

## Objectives

At the end of this program the user will be able to:

- State the key requirements of the DSE Regulations
- Identify what is classed as DSE
- State when you would be classed as a DSE user.
- Identify the principles of good DSE workstation design, including the use of laptops.
- Describe the potential ill health effects of working with DSE
- State the procedure to follow in the event of a health and safety problem arising from the use of DSE
- Understand their role in setting up a workstation correctly.

Information on seating and posture, office environment, and keyboard techniques can be found in Appendix B of this policy – DSE Self-Assessment Guidelines.

## 6 Duties / accountabilities and responsibilities

### 6.1 Duties within the organisation

The Chief Executive (Head of Paid Service) and Proper Officers (Directors) can be personally liable when these duties are breached and have both collective and individual responsibility for health and safety. The HEYCA also retains a Health and Safety Advisor (competent person) to assist in complying with its statutory health and safety duties, which includes the use of DSE. This role will provide annual H&S reports to the HEYCA.

This section sets out the duties within HEYCA for the responsibility for the development and management of this policy.

### 6.2 Chief Executive (Head of Paid Service)

The Chief Executive (Head of Paid Service) has overall responsibility for health and safety in the HEYCA including the specific duties below in relation to DSE:

- The provision of sufficient resources to implement the DSE Policy including staff resources and funding.
- Ensuring that all employees are fully aware of their statutory responsibilities and that these responsibilities are fulfilled.
- Ensuring that the employing organisation complies with all statutory requirements relating to the health and safety of the staff.

### 6.3 Strategic Director of Legal & Governance and Monitoring Officer

The following duties are delegated to the Strategic Director of Legal & Governance and Monitoring Officer who is the Proper Officer with executive responsibility for health & safety:

- Appropriate advice and support are available in relation to DSE use.
- Ensuring annual report including accident statistics, trends and remedial measures indicated are completed and reported, where appropriate, to the Audit Committee.

- DSE Policies and procedures are developed and implemented, and that people understand their roles and those of others.

#### 6.4 HEYCA Proper Officers and Managers

The day-to-day responsibility for health, safety and welfare is delegated to Proper Officers and managers. They have responsibilities for the wellbeing of all staff, service users and visitors within their respective work areas. In line with the Management of Health and Safety at Work Regulations 1999. Directors must ensure:

- The implementation of the DSE Policy within their areas of control.
- Effective delegation of safety responsibilities within their areas of responsibility.
- Effective support for their senior managers' decisions and recommendations in terms of the provision of appropriate resources for DSE.
- The promotion of a positive health and safety culture which enables all employees to fulfil their statutory duties.
- That staff have adequate experience and training to safely undertake their work.

#### 6.5 Line Managers

It is duty of all line managers to ensure compliance with this policy in relation to DSE equipment and associated activities that are within their direct operational control.

- Ensure people understand the risks and control measures associated with their work.
- Ensure that DSE self-assessments are completed by all staff on commencement of employment, using the correct DSE Self-Assessment form (Appendix C).
- Ensure, wherever practicable, the users themselves will be able to control their work routine to allow for regular breaks.
- Ensure that all staff undertake the mandatory DSE e-learning at the commencement of employment, and subsequently with a refresher period every 3 years.
- Ensure that all workstations are assessed to comply with the relevant Regulations and that necessary action is identified and implemented.
- Ensure that completed DSE self-assessments forms are placed in the individual's personal file upon completion.
- Ensure that staff review DSE self-assessments when appropriate or when needs change.
- The needs of disabled persons must also be properly addressed through a suitable and sufficient risk assessment which considers the nature and extent of their disability. Further advice for members of staff responsible for the provision of and setting up of workstations for disabled persons can be obtained from the relevant Occupational Health Department.
- Ensure that any adverse findings of DSE self-assessments are acted upon and, where appropriate, corrective actions taken including the involvement of the Occupational Health Provider
- Arrange the cost of any change/new equipment necessary to meet the Regulations.
- Liaise with the Occupation Health Service to ensure that any software purchased is adequately meets the needs of the individual.
- Ensure the workload allows a break away from DSE use of at least 5 minutes every hour.
- **Expectant mothers** may be more affected by hazards from the workstation such as:

- Awkward postures, heavy lifting, repetitive forces, and limited rest periods
- hormonal changes can affect ligaments and joints, which can cause postural problems, backache and impairment of dexterity, agility, coordination and balance
- reaching distance and lifting capability can be reduced
- Line Managers must ensure that the existing DSE assessment is reviewed once they are notified of a new or expectant mother and during and after the pregnancy as appropriate (e.g., if any pain or discomfort is experienced).

## 6.6 Employees

It is the duty of all staff and any others who may be affected by the work activities of HEYCA to comply with the findings of DSE self-assessments and any actions recommended by the Occupational Health Provider.

Staff should make themselves aware of the potential risks of injury and ill health as well as control measures and practices in place for their protection within their work routines. (Appendix B)

It is also the duty of all staff to report any deficiencies within the DSE arrangements to line management, and to co-operate (where appropriate) in developing a safe outcome to identify deficiencies.

Specific duties include:

- Carry out a DSE self-assessment on commencement of employment at HEYCA and ensure that the assessment is forwarded to their Line Manager
- Ensure that the recommendations made on the DSE Self-Assessment form are followed (Appendix C)
- Ensure that where appropriate, assistance is sought from the Occupational Health Provider
- Ensure that the DSE self-assessment is reviewed at appropriate intervals, if equipment/furniture changes, if the working environment changes, or if any discomfort/difficulties are being experienced
- Ensure that regular breaks away from the workstation are taken
- Ensure that Line Management is informed if any difficulties or problems of discomfort persist for more than 3 days
- Undertake mandatory e-learning at commencement of employment and a refresher every 3 years

## 7 Eye and Eyesight Tests

The law states employers must arrange an eye test for [display screen equipment \(DSE\) users](#) if they ask for one and provide glasses if an employee needs them only for DSE use.

As an employer, you must protect your workers from the health risks of working with display screen equipment (DSE), such as PCs, laptops, tablets and smartphones.

The manager should offer staff classed as users the opportunity for a vision screening test with the user's own optometrist with the standard referral letter (Appendix E).

The maximum amount reimbursed by HEYCA for the test will be £30. The member of staff will be required to return the standard referral letter (suitably completed by the

optician) to the manager.

If corrective lenses are found to be necessary for the use of DSE only, then HEYCA will contribute a maximum of £50 for the purchase. This can be used to obtain a standard frame and lenses or be put towards a more expensive frames and lenses.

Claims for costs will be reimbursed following completion and authorisation of the necessary claim form (Appendix E) through the HEYCA expense mechanism.

## 8 Agile working

Employees carrying out substantial amounts of HEYCA work within their home will need to ensure that their workstation meets the standards laid down in this policy and ensure their Line Manager has a copy of their DSE assessment.

## 9 Monitoring Compliance

### 9.1 Proactive monitoring

The Chief Executive (Head of Paid Service) and Proper Officers will ensure that DSE is monitored via audits and inspections. This will support the overall health and safety planning and assist in promoting a positive health and safety culture. The involvement of trade union or staff-side health and safety representatives in this process will be encouraged.

### 9.2 Reactive monitoring

Monitoring of DSE, ill-health and circumstance change events will take place as necessary, to complement active monitoring. This monitoring process will involve both managers, staff, and safety representatives, as necessary. The Chief Executive (Head of Paid Service) and Proper Officers will ensure that such re-active monitoring is undertaken on an organisation wide basis.

### 9.3 Audit and review

DSE requirements will be reported in the first instance in accordance with this policy. Assessments will be reviewed by managers and where appropriate further assessment, or advice sought.

## 10 Arrangements for review

This policy will be reviewed every two years or, as necessary, in the light of legislative or organisational changes or because of any significant incident.

## 11 Dissemination

The Chief Executive (Head of Paid Service) will ensure through the HEYCA's line management arrangements that DSE considerations are included in any future business planning. Proper Officers will ensure appropriate cascading of DSE objectives throughout their area of responsibility in order to ensure that the needs of the organisation are identified, prioritised and that appropriate resources are allocated.

Policy documents are available via the HEYCA [SharePoint](#) / [intranet](#):

[Hyperlink to be provided](#)

Annual reports will be provided collated and subsequently presented to the Audit Committee for assurance purposes.

## 12 Associated documentation.

Health and Safety Policy

First Aid Policy

Agile Working Policy

Manual Handling Policy

Incident Policy

Equality Policy

## 13 References

- [Health and Safety at work Act \(1974\)](#)
- [The Management of Health and Safety at Work Regulations \(1999\)](#)
- [Workplace \(Health, Safety & Welfare\) Regulations \(1992\)](#)
- [Control of Substances Hazardous to Health \(CoSHH\) Regulations \(2002\)](#)
- [Provision and Use of Work Equipment Regulations \(1999\)](#)
- [First Aid at Work Regulations \(1981\)](#)
- [Display Screen Equipment \(DSE\) Regulations \(1992\)](#)
- [Regulatory Reform \(Fire Safety\) Order \(2005\)](#)
- [Safety Representatives & Safety Committee Regulations \(1997\)](#)
- [Reporting of Injuries, Diseases & Dangerous Occurrences Regulations \(RIDDOR\) \(1995\)](#)
- [National Health Service Litigation Authority Risk Management Standards](#)
- [Health & Safety Executive \(HSE\) Website](#)
- [HSG Guidance – HSG 65 – Successful Management of Health & Safety at Work](#)
- [Equality Act \(2010\)](#)
- [Human Rights Act \(1998\)](#)
- [Equality Duty \(Public Sector\) \(2011\)](#)

## 14 Appendices

Appendix A - Anti-Fraud, Bribery and Corruption

Appendix B - Setting up your workstation - DSE Self-Assessment Guidelines.

Appendix C – DSE Self-Assessment Form

Appendix D - Health Assessment referral information.

Appendix E – Standard Referral Letter for Eye and Eyesight Test

## 15 Impact Assessments

### 15.1 Equality

HEYCA is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an Integrated Impact Assessment (IIA) is carried out for a

new policy that has the potential to impact on citizens of the HEYCA area, carers, communities or staff.

The IIA toolkit can be found on the [SharePoint / intranet](#):

[Hyperlink to be provided](#)

Potential adverse impact on any protected group identified through the IIA will be monitored as part of the routine work to monitor compliance with the policy.

### **15.1 Bribery Act (2010)**

Consideration has been given to the [Bribery Act \(2010\)](#) in the development (or review, as appropriate) of this policy document, further details can be found in Appendix A.

### **15.2 General Data Protection Regulations (GDPR)**

The UK General Data Protection Regulation (GDPR)/ Data Protection Act 2018 includes the requirement to complete a Data Protection Impact Assessment for any processing that is likely to result in a high risk to individuals.

Consideration should be given to any impact the policy may have on individual privacy; please consult the HEYCA Data Protection Impact Assessment Policy. If you are commissioning a project or undertaking work that requires the processing of personal data, you must complete a Data Protection Impact Assessment.

The HEYCA is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the Data Protection & Confidentiality Policy and related policies and procedures.

## **Appendix A      Anti-Fraud, Bribery and Corruption**

The HEYCA has adopted a comprehensive Anti-Fraud, Bribery and Corruption Policy as part of its comprehensive Code of Conduct. This can be found at Section 5.6 of the HEYCA Constitution

<https://www.hullandeastyorkshire.gov.uk/constitution>

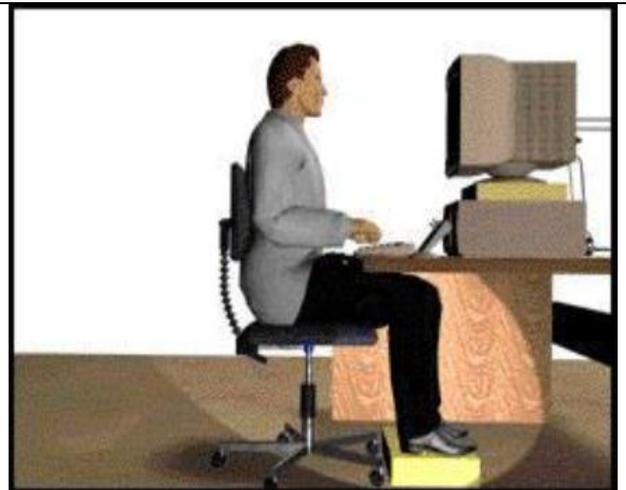
## Setting up your Workstation

### Display Screen Equipment Self-Assessment Guidelines

Setting up your workstation correctly is vital to ensuring you reduce the risk of pain and ill health that can be associated with Display Screen Equipment (DSE) use. It is the responsibility of all DSE users within HEYCA to ensure they have followed the DSE policy, set up their workstation, and completed a DSE self-assessment. By following the steps below, you should alter the layout of your workstation to ensure you are working safely. Remember, if items are bulky or heavy, you should not attempt to move them on your own. The correct set up of your workstation may not feel right at first, but it will encourage correct posture and safe working practices.

#### The Chair

- Adjust the height of your chair so that when you put your fingers on the middle row of the keyboard your hands and forearms remain horizontal.
- Your elbow joint should be at 90 degrees.
- There should be no angle at the wrist.
- This may mean your feet are dangling (do not worry, we will alter this next)
- Your knees must also be at about 90-degree angle.
- You may require a footrest in order to ensure that there is no pressure on the bottom of your thigh.

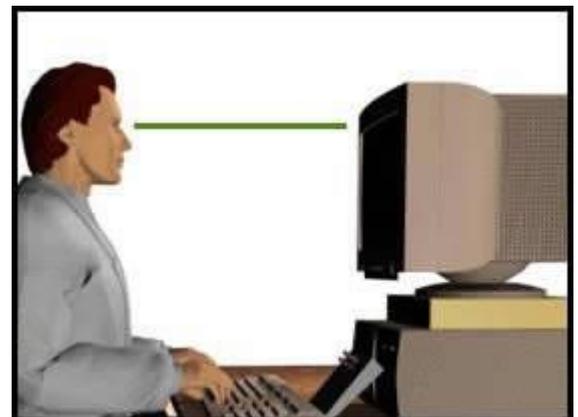


#### The monitor

- Adjust the height of the monitor to ensure that you are looking horizontally at it.
- Your eyes should be level with the top of the screen.
- You can adjust the height of your monitor by using a support. Please ensure that this is safe.
- The same should be applied to all screen types (flat screen and normal monitors)
- If you are using a laptop at your base desk, a support should always be used.
- Ensure your monitor screen is clean.
- Check the distance of your eye to the monitor. We recommend that your eye should be between 450mm and 650mm from the screen, whichever distance is most comfortable.

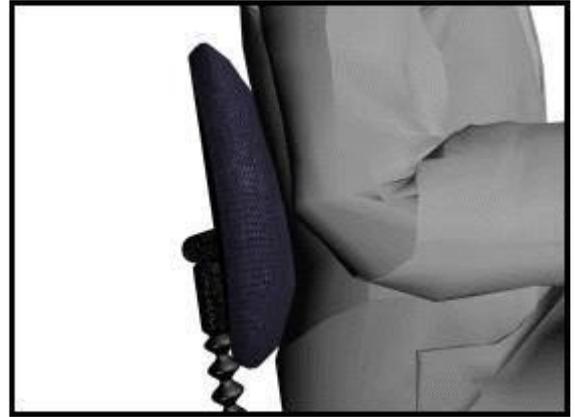
If these distances are not comfortable. Consider refer to the eye and eyesight test section of the DSE Policy

- Also consider the screen quality or settings.
- Tilt monitor between 5-15% off the vertical line



### Your Backrest

- Adjust the angle of your back rest and / or your bottom cushion to ensure that your back is supported in your work position.
- If you cannot sit back and upright without your knees touching the front of the seat, you may need to change your chair to one with a shorter seat.
- Adjust the back rest support so that it supports the small of your back.
- If the back rest does not fit into the small of your back, you may benefit from a back support



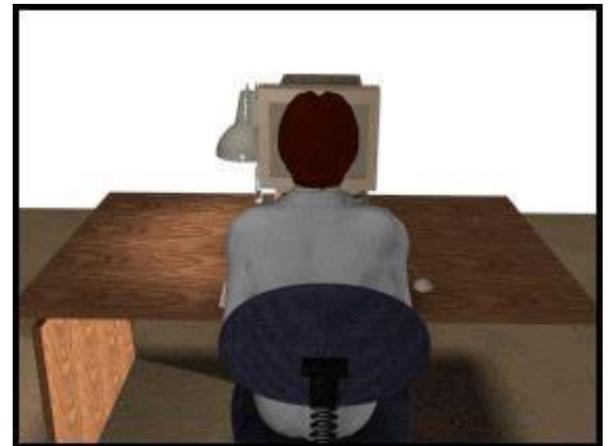
### Arm rests

- HEYCA does not encourage buying chairs with arm rests as they can cause upper limb disorders – However these will be supplied if recommended by Occupational Health
- If you cannot get close enough to your desk because of the arm rests you may have to have them removed.
- Your elbows should be vertically under your shoulders



### The Desk

- ensure that you are sat directly in front of the monitor and keyboard.
- sit close to your desk, allowing for your wrists to be supported by the desk.
- never put anything between the keyboard and you.
- if you often have to refer to documents whilst typing, you may benefit from a document holder.
- this should be placed at the same height and distance from your monitor.
- Do not let cable trail from the desk.
- Do not use extension leads.
- Never use pieces of equipment you have brought in from home



### The mouse

- The mouse needs to be positioned as close to you as possible.
- Aim to work with the mouse with your elbow vertically under your shoulder and right by your side.
- Always have your mouse on the mouse mat.
- Position any additional equipment, e.g., phones, paper trays and notes in an accessible place to avoid twisting and overstretching.
- If you are using a laptop at your base desk, a separate mouse should always be used

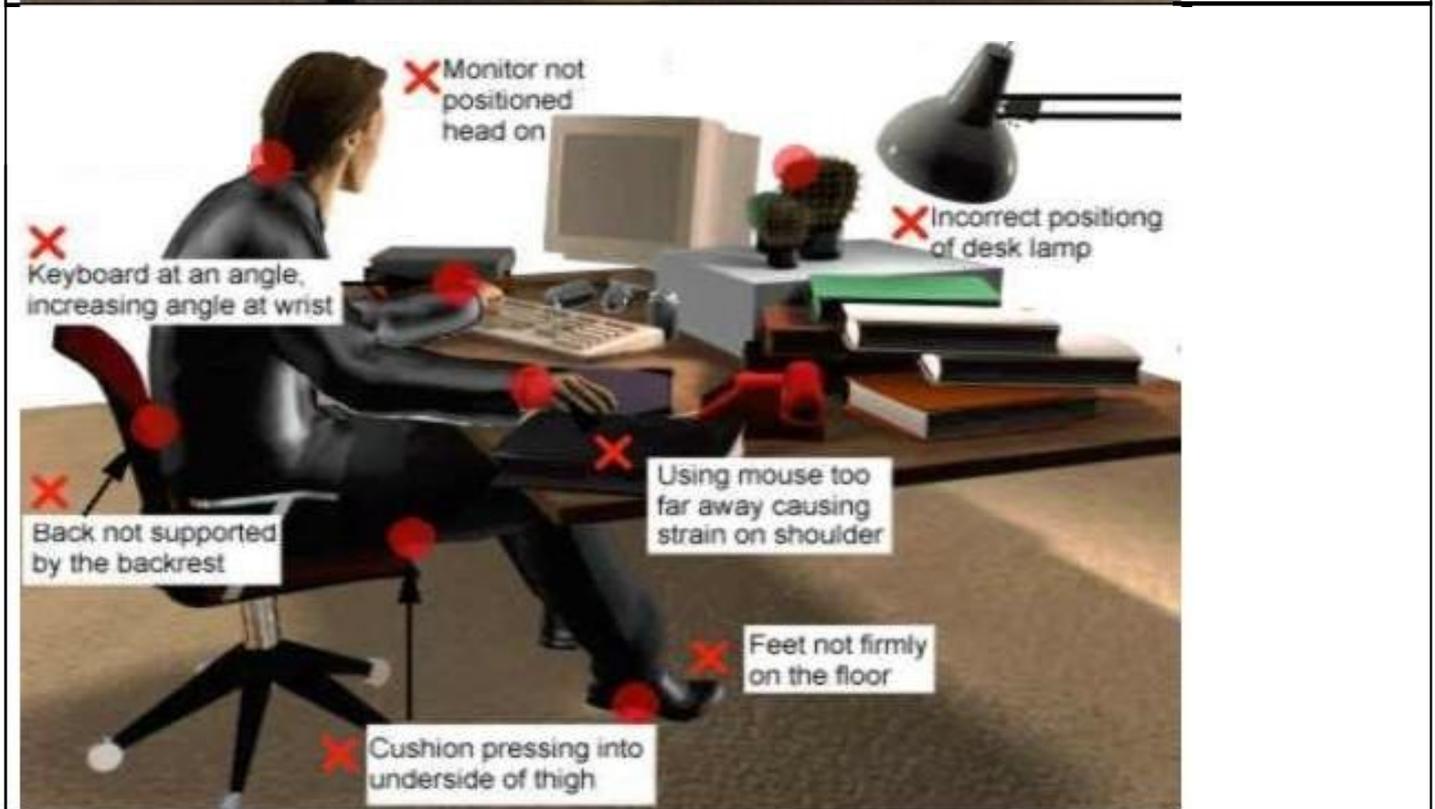


### The environment

- Temperature and humidity should be adjusted to ensure you are comfortable.
- If you suffer from dry eyes, you should report this to your manager.
- Eliminate glare or reflections on your screen, close blinds or move workstation so that it is at right angles with the window.
- Turn off over head lights if not needed (If colleagues all agree)



Do's and Don'ts of workstation set up.



## Appendix C Display Screen Equipment Self-Assessment Form

The purpose of the Display Screen Equipment Regulations is to safeguard employees by ensuring their working environment is comfortable, efficient and suits them and their job as required by Health and Safety legislation.

Please work through the assessment questionnaire checklist and ensure all equipment is properly positioned and adjusted for safe use. If you find a problem, please refer to the recommendation boxes and see if you can fix it yourself by making the suggested adjustments.

If you find a problem which cannot be fixed by simple adjustment, please record the issue on this form and discuss it immediately with your line manager. If you think your health is being adversely affected by your computer use (i.e., if you are experiencing headaches, eyestrain, discomfort in hand/wrist/forearm, numbness, pins, and needles) or if you have a health problem that makes computer use difficult, please contact your Line Manager as soon as possible.

**(Please note: if you spend a considerable amount of your employed time working from home you will need to complete two separate assessments – one for your working set up at home and another your normal office location)**

**It is your responsibility to report any symptoms that persist for more than 3 days.**

<b>Surname:</b>		<b>First Name:</b>	
<b>Your Base Location:</b>		<b>Manager:</b>	
<b>Your Tel No:</b>		<b>Date:</b>	
<b>Your email address</b>		<b>Managers email address</b>	

<b>OFFICE FURNITURE</b>	<b>YES</b>	<b>NO</b>
Have you adjusted your chair to be comfortable and supportive?		
Is your workstation large enough for documents/holder/monitor/keyboard?		
Are your feet flat on the floor or supported by a footrest?		
Are you comfortable whilst sitting at your desk?		

<b>RECOMMENDATIONS FOR OFFICE FURNITURE</b>
The desk should be a minimum of 80cm in depth.
The chair should be stable and should be sufficiently adjustable to allow the user to achieve free movement and a comfortable position.
Feet should be flat on the floor or use a footrest if needed.

A height adjustable document holder may help to reduce awkward and repetitive head/neck movement.

<b>COMPUTER SCREEN</b>	<b>YES</b>	<b>NO</b>
Are your head and neck in a comfortable position when viewing the screen?		
Are the characters on the screen readable?		
Is the image free from flicker and/or movement? (If no, please contact IT)		
Are the brightness/contrast buttons appropriately adjustable?		
Is the screen free from glare and reflections?		

### **RECOMMENDATIONS FOR COMPUTER SCREEN**

- Ensure screen surface is clean.
- Place the screen at a comfortable reading distance (should be 45-75cm away from you).
- The screen should be directly in front of you to read if most of the time or to the side if you refer to it occasionally. You must always sit straight to the screen, never twisted to one side.
- Ensure the keyboard is in line with the screen and you can do your main task without excessive twisting.
- Text should be large enough to read easily, if not, consider changing the size of the font.
- Adjust brightness/contrast of screen so that characters are readable.
- The screen should be free from glare and/or reflection – the use of blinds may be beneficial.

<b>KEYBOARD &amp; MOUSE</b>	<b>YES</b>	<b>NO</b>
Are your forearms horizontal and wrists straight when typing?		
Do you have enough space in front of the keyboard for a wrist rest or to rest your hands?		
Are the characters on the keys readable?		
Does your mouse feel comfortable in your hand?		
Do you experience any physical difficulties or discomfort from using a mouse?		
When using the mouse are your wrists and shoulders in a comfortable position close to the side of your body?		

### **RECOMMENDATIONS FOR KEYBOARD & MOUSE**

- It is recommended that wrists are straight; this may be helped by the use of a wrist support, which will also provide support for the forearm.
- Minimum distance between desk edge and front of keyboard – 5cm.
- Do not grip the mouse.
- Mouse mats with gel mounds for wrist support may be of benefit.
- When not using it, remove your hand completely from the mouse.

- Position your mouse so that it is close to your body to keep correct alignment of the shoulder.
- If you have a shoulder problem, the use of a keyboard with a separate number pad may help.

<b>LAPTOP USE</b>	<b>YES</b>	<b>NO</b>
If you use a laptop, are you free from upper limb, neck, lower back, or other musculoskeletal discomfort?		

<b>RECOMMENDATIONS FOR LAPTOP USE</b>
<p>Portable DSE equipment such as laptops and notebook computers are subject to the DSE Regulations. Advice for use with such equipment is as below.</p> <ul style="list-style-type: none"> <li>• There may be inherent ergonomic disadvantages of using portable DSE equipment. Use of a docking station or a laptop converter kit may reduce these problems.</li> <li>• When using portable equipment, more frequent breaks and/or changes of activity are required than when using a conventional PC.</li> <li>• Consider the manual handling aspects of your laptop use to reduce risk, such as using a backpack for transportation.</li> <li>• Think safety. Remember the risk of theft from your person or when the laptop is unattended.</li> </ul>

<b>WORK PATTERN AND PACE</b>	<b>YES</b>	<b>NO</b>
Does your work pattern and pace of work allow regular change in posture and time away from the Visual Display Unit (VDU)?		

<b>RECOMMENDATIONS FOR WORK PATTERN AND PACE</b>
<ul style="list-style-type: none"> <li>• Alternate your work tasks so you do not sit at the computer for more than one hour at a time. Workplace should allow for this. A varying work routine is important.</li> <li>• Five minutes away from the computer every hour is advised as a minimum.</li> </ul>

<b>SOFTWARE</b>	<b>YES</b>	<b>NO</b>
Are you able to use the software on your computer and does it meet your needs at work?		

<b>RECOMMENDATIONS FOR SOFTWARE</b>
The software should be suitable for the task and the user adequately trained in its use.

<b>ENVIRONMENT</b>	<b>YES</b>	<b>NO</b>
Is there enough room to change position and vary movement?		
Is the lighting suitable?		
Are levels of noise comfortable?		
Are levels of heat comfortable?		

<b>RECOMMENDATIONS FOR ENVIRONMENT</b>
<ul style="list-style-type: none"> <li>• Consider re-organising the office layout and check for obstructions. Space is needed to move and stretch.</li> <li>• Users should be able to control light levels e.g., by adjusting window blinds or light switches.</li> </ul>

- Consider moving sources of noise, such as printers, away from the user.
- Can heating be better controlled? Circulate fresh air as possible.

**Has this checklist covered all problems that you may have or had working with DSE and not been previously addressed by a DSE assessment? If not, please list any additional issues you may have in relation to DSE use to enable your Line manager to consider or allow any reasonable adjustments required and refer further for specialist advice if necessary.**

<b>Additional issues to be discussed with Line manager</b>
•

<b>Your Signature:</b>		<b>Date:</b>	
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<b>Manager Signature:</b>		<b>Date:</b>	
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**Once Form Completed managers retain one copy in Employees P file. (Electronic or physical)**

**If further assessment is required, please ensure you follow / Occupational Health provider referral route.**

## **Appendix D      Health Assessment Referral routes.**

### **Health Assessments in Relation to Work.**

Occupational Health contact details tbc

# Appendix E Standard Referral Letter for Eye and Eyesight Test

(Applicable for only employees working with Display Screen Equipment)

Name of user: .....

Home address: .....

Payroll Number: .....

Job Title: .....

Department: .....

## Part A (To be completed by the Line manager)

I confirm that the above-named member of staff is classified as a user of display screen equipment, in accordance with the Health and Safety (Display Screen Equipment) Regulations 1992, and is therefore entitled to an eye and eyesight test.

Signed: ..... Date: ..... **Print**

Name: .....

Designation: .....

## Part B (To be completed by the user)

I confirm that I have been advised of my entitlement to an eye and eyesight test and that I have read and understood the HEYCA DSE self-assessment guidelines.

I understand that HEYCA will only be liable for the costs of an eye and eyesight test if I follow the procedure in these guidelines and the HEYCA will only be liable for the basic cost of any corrective appliances required specifically for display screen work.

I undertake to pay the costs of a sight test and the costs of special corrective appliances for DSE use only and to claim reimbursement (subject to the maximum amounts determined by the HEYCA) **by the submission of this form (fully completed) and receipts in accordance with HEYCA expense procedures.**

I consent to the information requested being forwarded to my manager.

Signed: ..... Date: .....

**PART C**

**Report of full sight test (To be completed by the optician)**

I am conversant with the Statement of Good practice of the British College of Optometrists and that the purpose of the eye test is to determine if this user had any defect of sight requiring correction when working specifically with display screen equipment.

**Date of full sight test:** ..... **Cost of Test:** .....

**This user Does / Does not\*** have a defect in sight which requires correction when working only with display screen equipment.

My additional recommendations are as follows:

I confirm that this employee requires 'specific' corrective spectacles (see below) in order to work with display screen work? **YES / NO\***

If yes, please specify:

Details: .....

Cost of basic appliance: £ .....

Next sight test recommended: .....

**Signed:** ..... **Date:** .....

**G.O.C. Number:** .....

\*Please delete as appropriate

**DISPLAY SCREEN EQUIPMENT (DSE) / VISUAL DISPLAY UNIT (VDU) EYE EXAMINATIONS**  
**The Regulations**

The Health and Safety (Display Screen Equipment) Regulations 1992 as amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002, require employers to assess workstation health and safety risks and to reduce those risks for employees. In undertaking the assessments and addressing the risks, the work environment will often be improved.

**Employer's Responsibility**

The employer is responsible for the health and safety of all who work on their premises. The 1992 Regulations as amended impose on management specific responsibilities for the care of direct employees, who in the Regulations are termed "users". These duties are additional to the general duties of care required to satisfy other legislation.

All employed users of Display Screen Equipment are entitled to eye examinations paid for by their employer. The acceptance by the user of a visual screening check, whatever the result, does not remove the entitlement to a full eye examination. Vision screening, if carried out annually, may have a useful role to play in identifying "users" who need a re-examination.

The employer is also required to pay for any spectacles specifically required for VDU use. The employer does not have to pay for spectacles which were not prescribed under the employer's arrangements or for the provision or updating of "normal" spectacles, even if these are used for display screen work. The employer can, when making arrangements for employees, choose a suitable range of basic frames to satisfy the requirements of the Regulations and to provide some choice to the employee.

## **Optometrist's Responsibility**

The purpose of the examination is to increase comfort and accuracy when using a display screen and covers all aspects of workstation use. The optometrist requires some details of the workstation design, lighting, ventilation, work routine and training. All these can affect symptoms, and in undertaking an eye examination the optometrist will keep in mind the other requirements of the DSE Regulations. The user should provide workstation measurements such as the distance at which the screen is viewed, the distance of the keyboard, and that of any written or printed papers used at the workstation. These should be measured in each case. Documents supplied which specify pre-printed rather than individual measurements for that workstation are not adequate. The examination will include the provisions of the "Sight Test" as defined by the Opticians Act 1989 but will be extended to consider the needs of the individual user in relation to the DSE Regulations.

To ensure that all the requirements of the DSE Regulations are satisfied, the optometrist should know at the outset that he/she is conducting an examination under the DSE Regulations. The employer should not try to make arrangements retrospectively. Adequate time should be allowed by the optometrist for the discussion of problems and methods of alleviating them. The extra time needed will probably be reflected in the fee charged for this work. An examination carried out without reference to DSE will probably not record sufficient detail for subsequent advice relating to DSE work. Additional charges should be expected for detailed reports. (A suitable form follows this section). Such reports cannot be given without the consent of the employee. The findings of the eye examination remain confidential even when paid for by the employer, unless the employee specifically gives permission for this information to be divulged. It is preferable for the employee to choose the examining optometrist rather than have a practitioner pre-selected by an employer. This has the advantage of permitting continuity of eye care and maintaining the user's confidence. Such arrangements fit well into the requirements of the relevant DSE Regulations. Employers should be wary of selecting an optometrist purely based on the lowest fee being charged, as an examination carried out without reference to DSE will probably not record sufficient detail for subsequent advice relating to DSE work.

It needs to be emphasised that failure to meet the recommended visual standards does not constitute an automatic debarment to continue with DSE or VDU work.

## **VDU Spectacles**

In a minority of cases "specific" spectacles are required. The employer pays for such basic appliances but should not be expected to pay for any fashion element. It is very rare for a first correction or replacement near vision spectacle to be required solely for display screen use. In some countries "specific need" is more broadly interpreted as "a major use of the spectacles." The Health and Safety Executive, in consultation with the major optometry bodies, has taken the view that "specific" is based upon correcting the screen range with possible additional help for closer or further objects as appropriate.

In order to be appropriate for the work undertaken, it may be necessary to prescribe spectacles in multifocal form for some older users. These will normally incorporate an intermediate (screen distance) upper lens together with a reading section. Often these spectacles will be inappropriate for use other than with display screens. If the work includes visual tasks at distances away from the workstation, trifocals or varifocals may be necessary to achieve these tasks. A tinted lens would not normally be prescribed in spectacles specifically for VDU use, unless this tint is clinically necessary and also incorporated into the person's normal spectacles. However, many employers' schemes offer to pay sufficient to cover the cost of single vision lenses only, e.g., pay a proportion of the total cost involved. Such schemes are likely to be in breach of the regulations, and the employer cannot be absolved from the obligation to provide more costly lenses, should the optometrist consider them a necessity. Even if the paperwork is in copyholders at screen distance, the lighting requirements for screen and paperwork differ widely and may not be resolved satisfactorily with single vision lenses.

Most VDU users do not need specific spectacle correction for workstation use. The eye examination offers the opportunity to advise how the user can increase comfort. The person's own spectacles will normally cope satisfactorily with the work until the user is well into middle-age. Where a younger person requires a specific correction, it is reasonable for the employer to expect the prescribing optometrist to state the reasons.

Further information can be found at – [Professional Standards Authority Website](#).

**PART D**

**Claim for reimbursement (To be completed by the user and manager)**

I claim reimbursement of the following amounts (as detailed in Part D), subject to the maximum amounts determined by HEYCA.

**Cost of Test:** £.....

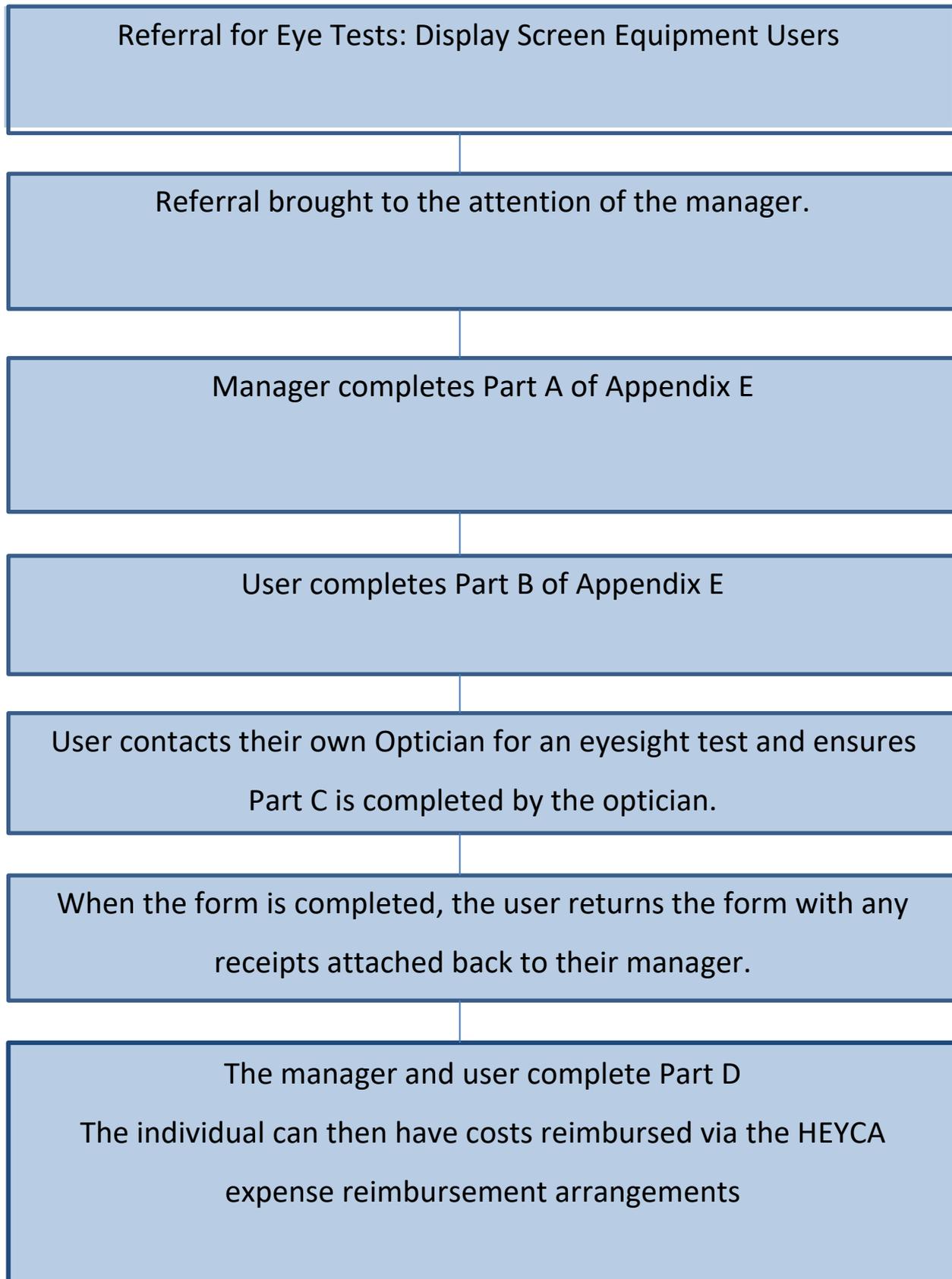
**Cost of Basic Appliance:** £..... |  
attach receipt(s) as proof of payment.

**Signed:** ..... (User)

**Date:** .....

**Signed:** ..... (Line Manager) **Date:** .....

Appendix F - Flow chart for Expense claims



# FIRE SAFETY POLICY

**September 2025**

<b>Authorship:</b>	Strategic Director of Legal & Governance and Monitoring Officer (interim)
<b>Committee Approved:</b>	Chief Executive (Head of Paid Service)
<b>Approved date:</b>	22/10/2025
<b>Equality Impact Assessment:</b>	09/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority and its Committees and Sub-Committees, staff, agency, and temporary staff and third parties under contract
<b>Policy Number:</b>	HEYCA 005
<b>Version Number:</b>	V 1.0

**The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as ‘uncontrolled’ and as such may not necessarily contain the latest updates and amendments.**

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.0	Strategic Director of Legal & Governance and Monitoring Officer (interim)	New Policy	Chief Executive (Head of Paid Service)	XX/09/2025	N/A

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## 1 Introduction

Hull and East Yorkshire Combined Authority (the HEYCA) recognises it has a statutory duty towards the safety of its employees and others working in or visiting its premises, including contractors and visitors who might be subject to fire risk.

The main statutory requirements are found in the Regulatory Reform (Fire Safety) Order 2005, Health and Safety at Work Act 1974 and the Management of Health and Safety Regulations 1999. The HEYCA will also comply with current Department of Health and Social Care Policy on fire precautions as set out in the 'Firecode'.

## 2 Purpose

This document sets out the HEYCA's approach to minimising the incidence of fire within its premises and the impact of fire on life safety, delivery of service, the environment and property. It applies to all HEYCA staff, functions, actions and services.

The purpose of the policy is to ensure that within the demised areas it operates from:

- the risk of fire will be reduced through good housekeeping measures being implemented throughout the HEYCA, raising staff fire safety awareness, fire training, appointing fire wardens and carrying out fire risk assessments.
- trained personnel will respond to fire alarm calls. They will take initial control of fire procedures with regard to the safety of visitors, staff and premises.
- appropriate fire response and control measures are in place, and fire alarm incidents are recorded, monitored and managed in order to minimise the number of incidents over time.

HEYCA staff who are based in other buildings are also required to comply with the fire safety policy of those premises and should make themselves familiar with local evacuation procedures.

The HEYCA's site must have co-ordinated local fire safety management activities which are managed on a day-to-day basis by the Nominated Officer of Fire and the Fire Warden; these include being a focal point on fire safety issues and ensuring that individuals are adhering to the best practice detailed in this policy. Fire safety concerns may be raised during tenants' meetings to ensure that the fire safety management activities undertaken by multiple tenants (as appropriate) complement each other and all reasonable steps to co-operate and co-ordinate with other tenants within the premises have been taken.

## 3 Definition/ Explanation of Terms

**Nominated Officer of Fire** is the most senior person on site who will take charge in the event of an emergency.

**Fire Warden** is the appointed person who will assist with the safe evacuation of premises and who may also be asked to undertake other specific site-related fire duties.

## **4 Policy elements for Fire Safety**

### **4.1 Fire Risk Assessments**

Fire Risk Assessments will be carried out for all HEYCA premises in order to comply with statutory requirements. To enable this, a 'Fire Risk Assessment' form must be completed to identify all fire risks and, where a risk cannot be removed, to indicate what control measures have been implemented to reduce the risk to an acceptable level. Such risks should be added to the risk register.

The Fire Risk Assessment form and other supporting documentation must be kept in the relevant premises and be available for inspection by external auditors and the Fire and Rescue Service. A copy will be kept by the HEYCA for review purposes.

### **4.2 Fire Training**

Suitable and relevant training will be provided for all staff. This will be achieved by induction training for all new staff and also regular specific fire training as set out in the statutory and mandatory training requirements. Fire warden training will also be provided where appropriate.

Managers must ensure that practice fire drills intended to test communications, staff reaction and the effectiveness of training will be carried out at regular intervals in all HEYCA premises (at least once annually). The HEYCA will be provided with a copy of drill details and actions for record purposes.

### **4.3 Fire Precaution Schemes**

The Health and Safety Lead for the HEYCA, in consultation with the relevant Proper Officer(s) and the Landlord will identify on-going measures needed to improve standards in fire precautions. This will be added to on-going programmes of work.

### **4.4 Unwanted Fire Signals (False Alarms)**

The HEYCA has committed to minimising the number of false alarm calls to the Fire and Rescue Service. In order to achieve this requirement, a fire alarm activation will be investigated to determine if the alarm is an actual fire or a false alarm. If it is discovered to be a false alarm the Fire and Rescue Service would be informed of this.

Given the disruption of any false alarm, whether the Fire and Rescue Services has been called or not, it is incumbent on all staff to ensure that the principles of good fire safety housekeeping are followed.

#### **4.6 Fire Risk Assessment for Furniture, Furnishings and Apparel**

The HEYCA must comply with Firecode HTM05-03 regarding furniture, furnishings and apparel.

#### **4.7 Personal Emergency Evacuation Plans (PEEPs)**

When planning evacuation procedures and assessing the adequacy of fire precautions, consideration must be given to the requirements of people who cannot get themselves out of a building unaided. The aim of a PEEP is to provide the person with the necessary information and assistance to be able to manage their escape to a place of safety and to ensure that the correct level of assistance is always available.

Some common forms of disability that may need to be considered include:

- Mobility impairment, which can limit speed of evacuation.
- Hearing impairment, which can limit the response to an alarm.
- Visual impairment, which can limit the ability to escape.
- Cognitive impairment, which can limit understanding of evacuation procedures.

Where people with special needs (individuals and visitors) work in or use the premises, their needs should, as far as is practicable, be discussed with them. These will often be modest and may require only changes or modifications to existing procedures. However, in some cases, more individual arrangements involving the development of 'personal emergency evacuation plans' (PEEPs) may need to be considered.

The PEEP's should be reviewed annually and ideally following any evacuation procedure. Individuals requiring a PEEP should be involved in all aspects of this process. No assumptions should be made that a disabled person cannot leave the premises independently.

Line Managers are responsible for highlighting where other members of their staff, e.g., pregnant women or staff with an injury, may require extra consideration if an evacuation was to occur. The Nominated Officer for Fire should be alerted to this so an appropriate risk assessment can be undertaken, and appropriate advice obtained. (PEEP Appendix 3)

#### **4.8 People with Mobility Impairment**

There is a wide range of people who fit into this category (including those with heart disease, asthma or heart conditions). Those people who require only limited assistance should evacuate the building using the nearest exit, as per the standard evacuation procedure. If it is necessary to move at a slower pace, they should allow other persons to exit the building before them and then continue their evacuation to a place of safety.

Options such as sliding down the stairs or some other unconventional ways are acceptable, as long as it is after the main flow of people. The use of the emergency patient evacuation ski-Pad and 'carry down techniques' may be deployed (following a risk assessment and training for the staff involved in this) if an individual wishes to use one of these methods to aid their exit from the building.

#### **4.9 Blind and Partially Sighted People**

Most visually impaired people have some sight and will be able to use this during the evacuation to make their own way out of the building as part of the general exodus. In other cases, a visual disability will usually require the assistance of one person. Where this is necessary, the person providing the assistance should descend down any staircases first, with the person's hand on their shoulder. On level surfaces they should take the helper's arm and follow them. Where an assistance dog assists a person, it might not be necessary to have this additional support.

#### **4.10 Hearing Impaired and Deaf People**

As the HEYCA relies on an audible alarm system, hearing impaired and deaf people need to be made aware when an evacuation is in progress. In these cases, a member of staff will be nominated to ensure that they are alerted to the fire alarm (by way of a pre-prepared written instruction) and to accompany them out of the building.

#### **4.11 People with Cognitive Impairment**

People with a cognitive impairment may have difficulty comprehending what is happening in an evacuation, may not be aware of their own needs and may not have the same perception of risk as non-disabled people. The most effective assistance is to have someone to help and in some cases a support worker/nominated member of staff may be in place who can help with the evacuation process. The most appropriate way forward would be to determine what the person understands themselves and then put in place a process whereby the support worker/nominated member of staff can ensure their safe evacuation.

#### **4.12 Assisted Evacuations for Visitors**

Where possible, HEYCA staff should be informed in advance of any visitors who may require assistance to safely evacuate a building and in ensuring that a process is in place should an evacuation be necessary. This will include providing advice to visitors on the options available and ensuring that assistance by way of a nominated person is in place should this be necessary. No assumptions will be made around the abilities of people with special needs and individuals will be involved in agreeing any arrangements.

## **5 Implementation**

This policy will be available to all staff for use.

All managers are responsible for ensuring that relevant staff within the HEYCA have read and understood this document and are competent to perform their duties in accordance with the procedures described.

On the first day of employment to either the organisation or the department, each new member of staff will receive a local induction from their line manager which will include a walk-through of the following fire safety points:

- actions to be taken on discovering a fire.

- actions to be taken on hearing the fire alarm.
- the location of the nearest fire alarm break glass call points.
- the location of the nearest fire exit.
- the location and type of the nearest fire extinguisher.
- the location of assembly points.

## **6 Duties/ Accountabilities and Responsibilities**

### **Duties within the organisation**

#### **6.1 Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) has overall responsibility for the strategic direction and operational management, including ensuring that HEYCA process documents comply with all legal, statutory, and good practice guidance requirements. In addition, they are required to have appropriate fire safety policies and programmes of work in place in order to improve and maintain fire policies within the organisation's premises.

#### **6.2 Strategic Director of Legal & Governance and Monitoring Officer**

The responsibilities for Fire Safety are discharged through the Nominated Executive for Health and Safety.

They will ensure that:

- the HEYCA complies with all statutory obligations in relation to health and safety.
- mechanisms are in place to effectively monitor performance on behalf of the Board and that they are fully implemented.
- the Board and appropriate committees are informed and advised regarding action needed on any significant Fire Safety event and actual or potential risk.
- the establishment and maintenance of an effective health and safety advisory service to the HEYCA through the appointment and/or training of adequate numbers of Competent Persons.

- the availability of adequate Fire Safety training programmes for all levels of staff.
- adequate resources are made available to ensure compliance with statutory Fire Safety obligations.
- update and review with the Risk Assurance and Safety Lead the Fire Safety Policy in accordance with the Regulatory Reform Order Fire Safety 2005 and the associated regulations issued by the Health and Safety Executive.
- the appropriate committee reviews HEYCA's compliance in accordance with statutory and mandatory Fire Safety regulations.
- so far as is reasonably practicable that all managers are aware of their responsibilities.
- a management system exists for reporting and investigating incidents.
- fire safety performance is measured, strategic targets set and progress monitored and reviewed;
- adequate provision for health and safety is included in any service level agreements/contracts.

### **6.3 Health and Safety Lead**

The Health and Safety Lead will:

- advise and assist management in the interpretation and application of all fire legislation and give relevant guidance in liaison with the Executive lead.
- organise Fire Risk Assessments and reviews where required.
- lead in the development of Personal Emergency Evacuation Plans when required.
- ensure that appropriate individuals have been identified as Fire Wardens to be responsible for each premise occupied by the HEYCA.
- ensure that adequate fire safety training is provided for staff and that the training is documented accordingly.
- ensure that regular testing and servicing of fire precautions (fire detection systems, firefighting equipment etc.) is carried out.
- implement workplace fire safety policies and develop a written fire plan for their area in conjunction with HEYCA colleagues.
- ensure that an appropriate investigation is carried out and a report is prepared following a fire in conjunction with the HEYCA.
- consult the relevant parties in advance of any proposed changes to either room occupancy levels and/or room use.
- In conversation with other HEYCA Colleagues ensure fire wardens are appointed for their area of responsibility and they attend appropriate training.
- ensure that suitable fire drills are carried out and recorded on an annual basis within their service area.
- monitor compliance with fire safety training.
- provide advice and support to all staff regarding all fire safety issues and initiate appropriate actions.

- liaise landlord staff, local building control and the Fire and Rescue Service in the specification of fire precautions in new and existing premises.

#### **6.4 Nominated Officer of Fire/ All Fire Wardens**

- Act as focal point on fire safety issues for local staff.
- Organise and assist in the fire safety regime within local areas.
- Raise issues regarding local area fire safety with line management.
- Assist with co-ordination of the response to an incident within the immediate vicinity.
- Be responsible for rolcall during an incident.
- Be trained to tackle fire with first aid fire-fighting apparatus where appropriate.
- Support line managers and the responsible person on fire safety issues.

#### **6.5 All Managers**

- Assist the Executive lead responsible for fire safety and the responsible people in the day-to-day implementation of the Fire Safety Policy throughout their areas.
- Ensure that any fire safety hazards are brought to the attention of the Health Safety representative(s).
- Ensure that local fire policies are brought to the attention of all their staff, particularly new starters as part of local induction.
- Ensure that provision is made for all their staff to attend fire training sessions when required and to ensure that they do so in line with the organisational requirements.
- Ensure that staff co-operate with the implementation of the policy and adhere to policies.
- Ensure that new starters carry out the core mandatory training.
- Inform 'new starter' employees of the relevant fire evacuation policies, means of escape, location of fire alarm points and firefighting equipment on their first working day.

#### **6.6 All Staff**

HEYCA employees are responsible for actively co-operating with managers in the application of this policy to enable the HEYCA to discharge its legal obligations and in particular:

- actively co-operate in the application of fire policies.
- ensure they are aware of and understand evacuation policies and any operational policies relating to specific places of work and events and comply fully with them at all times.
- ensure they are aware of specific hazards relating to fire and the policy to be followed.

- inform managers of any failure or shortcoming in any fire safety measures which come to their attention.
- ensure they are familiar with fire policies including location of fire exit routes, the position of fire alarms, manual operation points and first aid and firefighting equipment.
- undertake fire safety training as per the HEYCA mandatory training requirement.
- be aware of all fire risks within their premises and act accordingly at all times as per this policy.
- liaise with the Nominated Officer of Fire to ensure effective co-ordination of the situation where Fire and Rescue services personnel arrive on site.

## **7 Training**

The sponsoring Proper Officer will ensure that the necessary training or education needs and methods required to implement the policy or procedure(s) are identified and resourced or built into the delivery planning process. This may include identification of external training providers or development of an internal training process.

It is mandatory for all HEYCA employees to undertake fire safety training sessions as per mandatory training requirements.

All Fire Wardens are required to attend a Fire Warden training session and any refresher training deemed necessary.

## **8 Monitoring Compliance**

The HEYCA Board will ensure that this policy document is reviewed in accordance with the timescale specified at the time of approval. No policy or procedure will remain operational for a period exceeding three years without a review taking place.

Staff who become aware of any change including legislative change, which may affect a policy should advise their line manager as soon as possible. The Chief Executive (Head of Paid Service) or nominated deputy will then consider the need to review the policy or procedure outside of the agreed timescale for revision.

## **9 Arrangements for Review**

No policy or procedure will remain operational for a period exceeding three years without a review taking place.

## **10 Dissemination**

The Strategic Director of Legal & Governance and Monitoring Officer will ensure through the HEYCA's line management arrangements, that Fire Policy considerations are included in any future business planning.

Managers will ensure appropriate cascading of Fire Policy objectives throughout their area of responsibility in order to ensure that the needs of the organisation are identified, prioritised and that appropriate resources are allocated.

## **11 Associated Documentation**

Health and Safety Policy  
Incident Reporting Guidance

## **12 References**

Health and Safety at Work Act (1974)  
Human Rights Act (1998)  
Freedom of Information Act  
Equality Act 2006  
Corporate Manslaughter and Corporate Homicide Act 2007  
Health and Safety Offences Act 2008  
Management of Health and Safety At work Regulations (1999)  
Regulatory Reform (Fire Safety) Order 2005  
Firecode – Management of Fire Safety in Healthcare

## **13 Appendices**

**Appendix 1** - Monthly Fire Check Document  
**Appendix 2** – Personal Emergency Evacuation Plan (PEEP)

## **14 Impact Assessments**

### **14.1 Equality**

HEYCA is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an Integrated Impact Assessment (QEIA) be carried out on a new policy that is likely to impact on patients, carers, communities, or staff.

Potential adverse impact on any protected group identified through the IIA will be monitored as part of the routine work to monitor compliance with the policy.

### **14.2 Bribery Act 2010**

Due consideration has been given to the Bribery Act 2010 in the development (or review, as appropriate) of this policy document. The HEYCA has adopted a comprehensive Anti-Fraud, Bribery and Corruption Policy as part of its comprehensive Code of Conduct. This can be found at Section 5.6 of the HEYCA Constitution

<https://www.hullandeastyorkshire.gov.uk/constitution>

### **14.3 General Data Protection Regulations (GDPR)**

The UK General Data Protection Regulation (GDPR)/ Data Protection Act 2018 includes the requirement to complete a Data Protection Impact Assessment for any processing that is likely to result in a high risk to individuals. Consideration should be given to any impact the policy may have on individual privacy; please consult HEYCA Data Protection Impact Assessment Policy. If you are commissioning a project or undertaking work that requires the processing of personal data, you must complete a Data Protection Impact Assessment.

The HEYCA is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the Data Protection & Confidentiality Policy and related policies and procedures.

## Appendix 1 – Monthly Fire Check Document

### Fire Warden - Monthly Fire Safety Checks

Address of Premises:	
Work Area (if in shared premises):	
Date Checks Completed:	

1. Fire Alarm (if present)			
	Yes	No	N/A
a) Is the alarm sounded weekly? Give date & time of last recorded test.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Are all call points clearly visible/unobstructed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Are signs present at each call point?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Fire Extinguishers			
	Yes	No	N/A
a) Are all extinguishers present in their correct location?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Are all extinguishers suitably mounted on a wall or stand?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Do all extinguishers with a gauge show the correct pressure? Correct pressure 195 psi / 1,344 kPa <b>or the needle in the Green Segment</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Are all extinguishers free from signs of corrosion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Are all extinguishers within their annual inspection date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Are all extinguishers freely visible and unobstructed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) Do all extinguishers have appropriate signage above them?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Escape Routes and Exits			
	Yes	No	N/A
a) Are all escape routes clear of stored materials and debris?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Are all internal fire doors kept closed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Are final exits doors unobstructed inside and out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Do final exit doors open easily without a key?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Are pathways clear leading away from exit doors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) Are Escape route building floor coverings adequate to prevent trip hazards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Signs			
	Yes	No	N/A
a) Are all escape route signs clearly visible and legible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Do signs indicate the nearest escape route?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Are all internal fire doors labelled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

d) Do external fire exits have opening instructions shown?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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5. Evacuation Chair (Evac chair) if applicable			
	Yes	No	N/A
a) Are all Evac chairs present in their correct location?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Are all Evac chair covers in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please list the locations of Evac Chairs in your area:			
Are you aware of any disabled staff in your area who may have difficulty leaving in an emergency situation? <i>Please give details (No names to be included)</i>			

6. Matters Needing Attention (Items 1-5)			
Ref	Issue	Immediate Action Taken	Further Action Required

6. Any Additional Fire Safety Matters Highlighted

Checks Completed By: (checks should be completed by a trained Fire Warden)	
Name (please print)	Signature

Forms should be completed on or around the first of each month. Once completed, the original form is to be scanned and placed in the Fire Folder for the premises and brought to the next Health and Safety meeting. Any matters needing urgent attention should be brought to the attention of the nominated fire representative.

Appendix 2 – Personal Emergency Evacuation Plan  
(PEEP)

# Personal Emergency Evacuation Plan (PEEP)

## **Evacuation of Mobility-Impaired and/or Disabled Persons**

### **Mobility Impairment and the Law**

The Regulatory Reform (Fire Safety) Order 2005 places a legal duty on those with 'responsibility' over the management and operation of premises to provide adequate means for emergency escape in the event of fire for all building occupants. The same rights in law apply to those members of staff or visitors in a building who for whatever reason suffer from some degree of mobility impairment. The Order requires fire risk assessments to be undertaken as the means by which a 'responsible person' can identify and manage fire risks. The provision of facilities for the safe emergency evacuation of those with mobility impairments should be considered an important part of the fire risk management process.

### **What is a Mobility impairment?**

As with many aspects of fire safety, the degree to which an individual is affected by mobility impairment and the conditions of building access and occupation together constitute a life risk that may be unique to that individual's circumstance. A mobility impairment definition can be applied to any individual who is unable or finds it difficult to move over the potential evacuation distance without the assistance of others, or at such a pace that would impede others escaping at a normal speed. In effect, the definition can be extended beyond the wheelchair user to elderly persons, those with breathing difficulties, those with temporary conditions such as pregnancy, or those injuries affecting their mobility. It could also affect those with a visual impairment, who move slowly because they cannot easily see the means of escape. In short, any individual who is unable to evacuate with the main body of able-bodied occupants.

### **Other Disabilities**

Other disabilities may also affect a person's ability to evacuate as quickly as required. These include, but are not limited to:

Hearing impairment, where somebody is unable to hear the fire alarm sounders or is unable to hear guidance instructions given by members of staff, either with or without the added interference of alarm sounders.

Learning disability, where somebody cannot understand what is being told to them, does not understand the gravity of the situation, or moves in unpredictable directions.

Poor Mental Health, where a person may intentionally or otherwise act in an unpredictable manner, and possibly impede the progress of others.

## **What are the Fire Risk Moderating Options?**

Over recent times the law concerning access discrimination against those with disabilities has extended to include all service providers and employers. In meeting the freedom of access laws, the potential exists to contravene fire safety law, and this is where fire risk assessment plays its part. Strategies and procedures associated with managing the safe evacuation of mobility impaired persons involve physical fire safety provisions and fire safety management provisions. Physical provisions need to be suitable for all classifications of mobility impairment. They usually consist of a combination of evacuation lift provision and protected stairways with carry chairs, both provided with refuges to protect occupants from the effects of fire whilst they wait for assistance. Refuges need to be clearly recognisable and if we are to ask a mobility impaired person to wait whilst others evacuate, we must ensure that a means for these persons to communicate with the building management is available. Ideally, this should not be by means of a 2-way radio, as the person awaiting assistance may encounter additional stress levels, worrying about how to use the radio. There is the added problem of battery-charging, and security of the equipment. A better solution is a simple to use intercom system, between the refuge area, and the final exit area. This should be at a height suitable for wheelchair users as well as others.

## **Fire Safety Management of Mobility Impaired Persons**

Anyone who needs assistance to safely evacuate the building will require a plan. It is the responsibility of managers to ensure that the uniqueness of an individual's mobility impairment is properly coordinated with the physical provisions for their escape. The system normally applied is known as the Personal Emergency Evacuation Plan (PEEP). It is a system that constitutes a contract between the individual and the organisation that sets expectations from the individuals' point of view concerning what support he or she can expect and from the organisations perspective, applies reasonable conditions on occupation.

Where possible, the PEEP should be developed in conjunction with the individual to agree what action will be taken. For example, a person with a visual impairment may need to be escorted from the premises in case of a fire and a staff member should be nominated for this activity.

Once a PEEP has been established, arrangements should be put in place to ensure that these are practiced, and it is recommended that these are carried out separately to the standard test evacuation. The needs of the individual should be considered and therefore it may be inappropriate for the individual to be involved in the test evacuation. In these cases, a volunteer to take their place should be identified.

## **Personal Emergency Evacuation Plan (PEEP)**

### **Aim**

The aim of a PEEP is to provide people who cannot get themselves out of a building unaided with the necessary information and assistance to be able to manage their escape to a place of safety and to ensure that the correct level of assistance is always available.

### **Responsibilities**

It is the responsibility of Line Managers / fire warden representative to talk to disabled staff, service users, and visitors to assess whether they require any assistance in the event of an emergency. If someone believes they might require assistance, the PEEP Questionnaire should be completed. This should be completed by the Line Manager or their nominated representative and, if possible, in liaison with the individual who has the disability / mobility impairment.

### **Writing the PEEP**

From the information gathered in the questionnaire, a PEEP should be developed.

Given the unique characteristics of buildings and the need for a PEEP to take account of an individual's capabilities, disabled persons who regularly use different buildings may have to have a separate PEEP for each building.

If assistance with escape is required, the extent of such assistance should be identified in the PEEP, i.e., the number of assistants and the methods to be used. It is necessary to ensure that there is cover for absences, and the assistants may require training.

### **Evacuation in an Emergency**

#### **Assisting wheelchair user's downstairs**

Where disabled persons are located above the ground floor there are a number of considerations. In all the following cases Evacuation Lifts (where fitted) or Refuges should be identified and clearly marked

#### **Temporary Refuges -**

Some Premises will not have satisfactory places of refuge therefore all Staff and visitors must evacuate the building immediately.

## **Lifts -**

Most lifts cannot be used in an emergency. Any lift used for the evacuation of disabled people should be an “evacuation lift.” The individual lift servicing contractor, or a Specialist Fire Safety Advisor, will be able to tell you if, and in what circumstances, a lift may be used in the event of a fire.

## **Safe Routes -**

A PEEP should contain details of the necessary escape route(s). Clear unobstructed gangways and floor layouts should be considered at the planning stage.

It is especially important to ensure that security devices on doors, etc., are all able to be operated by the evacuating persons.

It is also necessary to ensure that there are (as many as possible) alternative routes and that the routes are not excessively long.

## **Deaf and Hearing-Impaired persons.**

Most deaf people alongside hearing work colleagues, relatives or carers will not require special equipment, providing they have been made aware of what to do in the event of a fire. They will be able to see and understand the behaviour of those around them.

However, deaf or hearing-impaired persons working alone may need an alternative method of being alerted to an emergency. For example, many alarm systems have visual indicators in the form of a flashing light, or vibrating pager systems can be used.

## **Blind and partially sighted persons**

Staff, service users, regular visitors, etc. should be offered orientation training and, where applicable, this must include alternative ways out of the building. If a blind person uses a guide dog it is important that the dog is also given ample opportunity to learn these routes.

## **Training**

To be effective, any Emergency Plan depends on the ability of staff to respond efficiently. Staff will therefore receive instructions, practical demonstrations and training appropriate to their responsibilities. This may include some or all of the following elements:

- Fire drills for staff, services users, regular visitors, etc.

- Specific training/instruction for Fire Wardens

## **PEEP Questionnaire for Disabled People**

This questionnaire is intended to be completed by disabled people to assist the development of a Personal Emergency Evacuation Plan (PEEP). Please provide as much information as you can to enable us to develop a suitable plan.

Once developed, the PEEP will be used to assist escape in the event of an emergency (including drills). If the practice drills identify concerns in the implementation of the evacuation, then please contact your Line Manager.

### **1. Why you should fill in the form**

We have a legal responsibility to protect you from fire risks and ensure your health and safety. The PEEP will be developed based on the information you provide.

### **2. What will happen when you have completed the form?**

You will be provided with any additional information necessary about the emergency evacuation procedures in the building(s) you attend.

If you need assistance, the "Personal Emergency Evacuation Plan" will specify what type of assistance you need. There may be some parts of the most appropriate premises where safe evacuation cannot yet be provided without alterations to the building/structure. In these circumstances the way forward will be discussed with you.



2.1	Are you aware of the emergency evacuation procedures which operate in the building(s) you attend?	YES	NO
2.2	Do you require written emergency evacuation procedures?	YES	NO
2.3	Do you require written emergency procedures to be supported by British Sign Language (BSL) interpretation?	YES	NO
2.4	Do you require the emergency evacuation procedures in Braille?	YES	NO
2.5	Do you require the emergency evacuation procedure to be on tape?	YES	NO
2.6	Do you require the emergency evacuation procedures to be in large print?	YES	NO
2.7	Are the signs which mark emergency	YES	NO

routes and exits clear enough.

### 3. Emergency Alarm

3.1 Can you hear the fire alarm(s) in your place(s) or work? YES NO Don't Know

3.2 Could you raise the alarm if you Discovered a fire? YES NO Don't Know

### 4. Assistance

4.1 Do you need assistance to get out Of your place of work in an emergency? YES NO Don't Know

4.2 Is anyone designated to assist you in an emergency? YES NO Don't Know

If YES give name(s) and location(s)

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4.3 Is the arrangement with your assistant(s) a formal arrangement? (A formal arrangement is one specified for them by a senior person or written into their job description or by some other procedure.) YES NO Don't Know

4.4 Are you always in easy contact with those designated to help you? YES NO Don't Know

4.5 In an emergency, could you contact the person(s) in charge of evacuating the building(s) in which you work and tell them where you were located? YES NO Don't Know

**5. Getting Out**

5.1 Can you move quickly in the event of an emergency? YES NO Don't Know

5.2.1 Do you find stairs difficult to use? YES NO Don't Know

5.3 Are you a wheelchair user? YES NO

Thank you for completing this questionnaire.  
The information you have given us will help us to meet any needs for information or assistance you may have.

Once completed please return form to your Line Manager and ensure the nominated officer for Fire is made aware of your needs.

## Personal Emergency Evacuation Plan

Name \_\_\_\_\_

Department \_\_\_\_\_

Building \_\_\_\_\_

Floor \_\_\_\_\_

Room \_\_\_\_\_

### Awareness of Procedure

The disabled person is informed of a fire evacuation by:

existing alarm system

pager device

visual alarm system

other (please specify)

### Designated Assistance:

(The following people have been designated assist me to evacuate the building in an emergency).

Name \_\_\_\_\_

Contact details. \_\_\_\_\_

Name \_\_\_\_\_

Contact details. \_\_\_\_\_

Name \_\_\_\_\_

Contact details. \_\_\_\_\_

**Methods of Assistance:**

(e.g.: Transfer procedures, methods of guidance, etc.)

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**Equipment Provided (including means of communication):**

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**Evacuation Procedure:**

(A step-by-step account beginning from the first alarm)

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**Safe Route(s):**

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**Date of agreement** \_\_\_\_\_

# First Aid at Work Policy

## September 2025

<b>Authorship:</b>	Strategic Director of Legal & Governance and Monitoring Officer (interim)
<b>Committee Approved:</b>	Chief Executive (Head of Paid Service)
<b>Approved date:</b>	22/10/2025
<b>Equality Impact Assessment:</b>	09/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority and its Committees and Sub-Committees, staff, agency, and temporary staff and third parties under contract
<b>Policy Number:</b>	HEYCA 004
<b>Version Number:</b>	V 1.0

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.0	Strategic Director of Legal & Governance and Monitoring Officer (interim)	New Policy	Chief Executive (Head of Paid Service)	XX/09/2025	N/A

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## 1 Introduction

For the purposes of this policy Hull and East Yorkshire Combined Authority will be referred to 'the HEYCA' from here on in.

People at work can suffer injuries or be taken ill. Whether the injury or illness is caused by the work they do or not, it is important to give them immediate attention and know when to summon professional help. First Aid at Work legislation covers the arrangements an employer must make to ensure this happens.

Under the Health and Safety (First Aid) Regulations 1981 it is the statutory duty of the employer to provide adequate and appropriate first aid equipment, facilities, and people to ensure its employees, and anyone else who may be affected by its work activities, can be given immediate help if they are injured or taken ill whilst at work.

What is '*adequate and appropriate*' will depend on the circumstances in the workplace. This includes whether trained first aiders are needed, what should be included in a first aid box, and if a first-aid room is required. Employers should conduct an assessment of first aid needs to determine what to provide.

It is the statutory duty of employees to comply with health and safety legislation and any other procedures and policies that are designed to protect them from the risks associated with workplace activities.

## 2 Purpose

The purpose of this document is to provide guidance to staff on First Aid arrangements within the HEYCA. It is committed to providing a safe environment for all staff, visitors or anyone else in attendance at its premises and it will take all reasonably practicable steps to ensure that they receive immediate first aid attention in the event of injury or illness whilst conducting their work-based activities.

This procedure provides an overview of the first aid at work arrangements within all premises in which the HEYCA conduct their business.

The objective of the first aid arrangements is to ensure that immediate care and attention can be administered in compliance with the Health and Safety (First Aid) Regulations 1981 and associated Approved Codes of Practice.

## 3 Scope

This policy applies to all employees of the HEYCA, any staff who are seconded to the HEYCA, contracted and agency staff and any other individual working on HEYCA premises.

This policy applies to all HEYCA premises whether owned or leased, and forms part of the overall Health and Safety Policy.

To this end, this policy will be available and or circulated to representatives of tenant and contractor organisations as necessary.

## **4 Implementation**

This policy will be available to all staff for use via the HEYCA SharePoint.

All managers are responsible for ensuring that relevant staff within the HEYCA have read and understood this document and are competent to perform their duties in accordance with the procedures described.

## **5 Risk Assessment**

The Regulations do not prescribe the level of first aid facilities an employer must provide, because every workplace has different hazards. The HEYCA will confirm the arrangements with the Landlord(s) as to whom is responsible for individual first aid elements in each building. The HEYCA competent person(s) will ensure an appropriate level of service support, proportionate to the risks identified in the individual building assessment, via regular audits and communication with Landlords. Additional eparate assessments may be required for various parts of the premises that are judged to present higher risks as well as off-site activities dependent on the operations undertaken.

All staff that have agreement to work at home as part of a flexible working pattern should also complete a home working risk assessment form (which also covers recommendations for first aid cover in the home) via a self-assessed risk assessment which is part of the Flexible Working Policy. There is no obligation for an employer to record the results of such an assessment, but a record may be useful to justify later, the reasons behind the level of first aid provision.

The HEYCA carries out an annual first aid needs risk assessment on its building(s) to determining the nature and extent of first aid provision within the location. The factors to be considered and recorded, include:

- The nature of the work undertaken, the situation and environment and the hazards and risks they present.
- The size and location of the workforce
- The location in relation to the nearest “expert” medical services (e.g., A&E and Minor Injuries Units)
- The sharing of First Aiders and facilities in multi-occupancy buildings.
- The provision during normal working hours and any out of hours
- Occupation of premises
- First Aid at Work Policy
- Working patterns e.g., “fixed base” working, shift work, peripatetic working (i.e., staff who have a work base but spend significant amounts of time within the community)
- Services requiring 24 hours cover etc.
- Cover for leave/absence of first aiders
- What to do if no First Aider available due to flexible working organisation

- The number of non-employees (visitors, contractors, members of the public etc.)
- The first aid provision already in place, i.e., trained staff and first aid boxes
- The location of first aid materials and equipment that are readily available when needed.

Each building occupied by the HEYCA will have a First Aid Needs Assessment completed and sufficient staff, equipment and signage will be maintained.

## **6 HEYCA Responsibilities**

The HEYCA Strategic Director of Legal & Governance and Monitoring Officer has overall responsibility for the Health & Safety and First Aid arrangements within the organisation. Trained First Aiders have been appointed through volunteers and line management arrangements in respective areas, depending on the requirements of the building the HEYCA occupies. Where Necessary, they will administer immediate care and attention where necessary in the most reasonably practicable way with a workforce operating under flexible work arrangements.

For communication purposes, procedures for the application of first aid arrangements are detailed within this document. This policy will be published on the HEYCA Sharepoint. Specific changes to this policy will be communicated to appointed First Aiders directly as well as other staff. It remains an individual's responsibility to make themselves aware of the First Aid provisions and arrangements in any building they work in.

Everyone operating within the HEYCA First Aid arrangements does so on the understanding that it represents a system of control demanded by the Health and Safety (First Aid) Regulations 1981. Any failings of the First Aid arrangements should be reported in the first instance to Line Management, and then to the responsible and or competent person for the building who in turn will contact the HEYCA Health and Safety Lead if required for advice.

### **6.1 Management Responsibilities**

The HEYCA Strategic Director of Legal & Governance and Monitoring Officer has the overall responsibility to ensure that the HEYCA complies with all relevant health and safety legislation.

Specific duties include:

- Provide reports/feedback, where appropriate, to the HEYCA Health & Safety meeting on all matters relating to First Aid at Work.
- Ensure that the HEYCA Health and Safety Lead manages the arrangements for the provision of First Aid in the workplace(s) on a day-to-day basis.

- Receive reports on audits of the First Aid arrangements by the HEYCA Health and Safety Lead and ensure that, if appropriate, recommendations are acted upon, and corrective actions are taken.

## **6.2 HEYCA Health and Safety Lead**

The HEYCA Health and Safety Lead has responsibility for the ongoing management of the First Aid arrangements within the organisation. Specific duties include:

- Ensure that there are enough trained First Aiders in each workplace where necessary, nominated by Line Management or volunteers. Consideration has been given to first aid cover arrangements across a workforce operating flexibly
- Provide information, instruction, and training, through a competent training provider, for the nominated First Aiders and maintain a list of said providers
- Ensure that training records for First Aiders are maintained and kept up to date and that refresher training is given at the designated intervals as determined by the Health and Safety (First Aid) regulations 1981
- Audit the First Aid arrangements on a regular basis and provide a report to the Strategic Director of Legal & Governance and Monitoring Officer on such audits
- Ensure that sufficient resources are available to provide suitable first aid equipment and facilities
- Where there are specific work activities/hazards which may require different levels of first aid provision, ensure that further risk assessment takes place to control the risk
- Review and update this procedure on a regular basis to ensure it meets regulatory requirements, and the requirements of the HEYCA Health and Safety Policy
- The HEYCA Health and Safety Lead must ensure that all First Aiders are informed if there are any significant changes to legislation or procedures

## **7 Building Responsible & Competent persons and First Aiders**

. Sufficient staff within each work area or building should be nominated to attend a suitable First Aid training course. Once qualified, specific duties include:

- Ensure that the names of nominated First Aiders are displayed in prominent positions within the workplace

- Ensure that first aid equipment (first aid kits) is checked and maintained on a regular basis and that expiry dates of contents are observed. Records should be kept, and all staff should be aware of the location of first aid kits in each building.
- Ensure that first aid kits are re-stocked after use or where appropriate
- Where automatic external defibrillators (AEDs) are available, and within the HEYCA's remit as a tenant (not Landlord) ensure that they are checked and maintained on a regular basis, as determined by the manufacturer as required

## **8 All Staff**

It is the duty of all staff and any others who may be affected by the work activities of the HEYCA to report all injuries, accidents, or instances of ill health.

Staff should make themselves aware of the names and locations of the nominated First Aiders within their workplace. Also make yourself aware of what arrangements are in place in each specific building should a trained first Aider not be available.

It is also the duty of all staff to report any deficiencies within the first aid arrangements, and to cooperate (where appropriate) in developing a safe outcome to identified deficiencies.

## **9 Arrangements for Review**

No policy or procedure will remain operational for a period exceeding three years without a review taking place or as required legislative changes or following incidents.

## **10 Dissemination**

The Strategic Director of Legal & Governance and Monitoring Officer will ensure through the HEYCA's line management arrangements, that First Aid Policy considerations are included in any future business planning.

Managers will ensure appropriate cascading of First Aid procedures throughout their area of responsibility to ensure that the needs of the organisation are identified, prioritised and that any appropriate resources are allocated.

## **11 Monitoring the Effectiveness of and Compliance with This Policy**

All those operating within the First Aid arrangements should assess them continuously on an informal basis. Any faults, failings and potential areas for improvement should be communicated to the HEYCA Health and Safety Lead in the first instance.

More formally, First Aid arrangements will be reviewed by the HEYCA Health and Safety Lead to ensure continued compliance with regulatory requirements and changes in first aid procedures. Reviews of the arrangements will take account of various sources of information, from individual feedback to analysis of incident statistics. Reports will be made available to the Health and Safety meetings and to the Strategic Director of Legal & Governance and Monitoring Officer.

The HEYCA Health and Safety Lead will keep up to date with any changes in statutory requirements and implement them where appropriate.

## **12 Associated Documentation**

Health and Safety Policy  
Incident Reporting Guidance

## **13 References**

- Health and Safety at Work etc: Act 1974
- The Management of Health and Safety Regulations 1999 (MOHASR)
- The Health and Safety (First Aid) Regulations 1981
- HEYCA Health and Safety Policy
- Selecting a First Aid Training Provider – HSE Guide for Employers

## **14 Impact Assessments**

### **14.1 Equality**

HEYCA is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an Integrated Impact Assessment (QEIA) be carried out on a new policy that is likely to impact on patients, carers, communities, or staff.

Potential adverse impact on any protected group identified through the IIA will be monitored as part of the routine work to monitor compliance with the policy.

### **14.2 Bribery Act 2010**

Due consideration has been given to the Bribery Act 2010 in the development (or review, as appropriate) of this policy document. The HEYCA has adopted a comprehensive Anti-Fraud, Bribery and Corruption Policy as part of its comprehensive Code of Conduct. This can be found at Section 5.6 of the HEYCA Constitution

<https://www.hullandeastyorkshire.gov.uk/constitution>

### **14.3 General Data Protection Regulations (GDPR)**

The UK General Data Protection Regulation (GDPR)/ Data Protection Act 2018 includes the requirement to complete a Data Protection Impact Assessment for any processing that is likely to result in a high risk to individuals. Consideration should be given to any impact the policy may have on individual privacy; please consult NHS Humber and North Yorkshire HEYCA Data Protection Impact Assessment Policy. If you are commissioning a project or undertaking work that requires the processing of personal data, you must complete a Data Protection Impact Assessment.

The HEYCA is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the Data Protection & Confidentiality Policy and related policies and procedures.

# Manual Handling Policy

## September 2025

<b>Authorship:</b>	Strategic Director of Legal & Governance and Monitoring Officer (interim)
<b>Committee Approved:</b>	Chief Executive (Head of Paid Service)
<b>Approved date:</b>	22/10/2025
<b>Equality Impact Assessment:</b>	09/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority and its Committees and Sub-Committees, staff, agency, and temporary staff and third parties under contract
<b>Policy Number:</b>	HEYCA 002
<b>Version Number:</b>	V 1.0

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approving body</b>	<b>Approval date</b>	<b>Date published on website</b>
1.0	Strategic Director of Legal & Governance and Monitoring Officer (interim)	New Policy	Chief Executive (Head of Paid Service)	XX/09/2025	N/A

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## 1 Introduction

Hull and East Yorkshire Combined Authority (the HEYCA) is committed to providing a safe working environment for all employees. This will include the provision of safe management systems, equipment and any information, training and supervision that is necessary to enable its employees to carry out their duties in a safe manner.

Manual Handling is defined as “*any transporting or supporting of a load (including the lifting, putting down, pushing, pulling, carrying or moving) by hand or bodily force*”. Regulation 2(1) Manual Handling Operations Regulations 1992 (as amended) 2002.

Statistics show that manual handling of hazardous loads is one of the most common causes of absence due to injury in the workplace. This policy outlines the measures that must be taken by both managers and employees to reduce the risk of injuries being incurred and sets out guidance for the moving and handling of loads.

The aim of the policy is to eliminate the need for employees to undertake any hazardous manual handling tasks “*so far as is reasonably practicable*”, in accordance with current legislation and to promote best practice regarding manual handling tasks.

The HEYCA reminds all its employees of their duties under the Manual Handling Operations Regulations 1992 to make full and proper use of service aids provided and will take all reasonable steps to ensure that this Manual Handling Policy is communicated and available to all appropriate persons who have cause to work within the organisation.

Guidelines on the Manual Handling of Loads can be found attached at (Appendix 1)

General Manual Handling Risk Assessments should be recorded using the standard HEYCA Risk Assessment Form (attached as Appendix 2).

Specialist risk assessments for a specific individual or for complicated lifting equipment may be carried out by the Occupational Health provider on their own paperwork.

## 2 Purpose

The purpose of this document is to provide guidance to staff on Manual Handling. The HEYCA is committed to providing a safe environment for all staff, visitors and everyone based at its premises.

This will be achieved by ensuring HEYCA premises and activities are free from unnecessary manual handling tasks wherever possible, and that those tasks which remain necessary are carried out in a safe and appropriate way.

## 3 Scope

This policy applies to all employees of the HEYCA, any staff who are seconded to the HEYCA, contracted and agency staff and any other individual working on HEYCA premises. This policy applies to all HEYCA premises whether owned or leased. To this end, this policy will be available and or circulated to representatives of tenant and contractor organisations as necessary.

## **4 Implementation**

This policy will be available to all staff for use via the HEYCA SharePoint.

All managers are responsible for ensuring that relevant staff within the HEYCA have read and understood this document and are competent to perform their duties in accordance with the procedures described.

## **5 HEYCA Responsibilities**

The HEYCA recognises and accepts its statutory responsibilities as an employer to avoid hazardous manual handling so far as is reasonably practicable.

Where hazardous handling tasks cannot be avoided a suitable and sufficient risk assessment should be made considering:

- The nature of the task
- The nature of the load
- The capabilities of the individuals involved in the task
- The working environment
- Provision, maintenance and suitability of equipment

The risk assessment should be used to implement measures that eliminate or, where this is not possible, to reduce the risk of injury to the lowest level reasonably practicable.

Any assessment should be completed using an HEYCA template and reviewed annually, or sooner if changes in the task, load, working environment or individual capability occur.

All individuals who may be at risk, including non-employees must be informed of the risks associated with hazardous manual handling tasks so far as is reasonably practicable.

Employees who do not carry out safe manual handling techniques, as identified within the HEYCA Policies, but carry out unsafe techniques which increases the risk of injury to themselves and others, may be subject to disciplinary action in line with HEYCA Disciplinary Policy.

### **5.1 Management Responsibilities**

Managers must ensure that all manual handling incidents are reported immediately in compliance with the HEYCA incident reporting procedures and that appropriate investigations are undertaken.

Any employee with back pain or any other physical condition which may affect their required manual handling capability, whether or not as a result of injury, must be referred to the Occupational Health provider for a specialised assessment.

Managers must ensure that staff are instructed in the use and maintenance of specialised manual handling equipment were provided in the workplace following manual handling induction training. Any such training should be recorded in the staff member's personnel file.

## 5.2 Employees Responsibilities

All staff shall be reminded of their obligations under the Health and Safety at Work Act etc: 1974, as set out in Section 7, as follows:

*“It shall be the duty of every employee while at work to take reasonable care of the health and safety of himself and other persons who may be affected by his acts and omissions at work”.*

and that:

*“As regards any duty or requirements imposed on his employer or any other persons by or under any of the statutory provisions, to co-operate with him so far as is necessary to enable that duty or requirement to be performed or complied with”.*

Employees are reminded of their duties under the Management of Health and Safety at Work Regulations 1992, as set out in Regulation 5:

*“Each employee while at work shall make full and proper use of any system of work provided for his use by his employer”.*

Employees are also reminded of their duties under the Manual Handling Operations regulations 1992, as set out in regulation 12:

*“To make use of appropriate equipment provided for them. Such equipment will include machinery and other aids provided for the safe handling of loads.”*

All employees are responsible for ensuring that they have read the Manual Handling Policy and that they are familiar with the principles outlined. Compliance with safe systems of work is mandatory. Any breach of this policy observed must be reported to the line manager.

Employees are required to participate in and comply with the undertaking and review of both generic and individual assessments of manual handling risk and to follow the guidance given where specific risks have been identified.

Accidents and incidents must be reported immediately in compliance with HEYCA Incident Reporting, and treatment/advice sought in the case of injury.

Any employee aware of a health problem or condition, whether or not due to injury which may affect their required manual handling capabilities must report this directly to their manager or refer to the Occupational Health provider if further advice or support is required.

## 6 Training

- Manual handling instruction is regarded by the HEYCA as mandatory training and the HEYCA considers it to be an integral part of the Health and Safety process and all staff must complete on-line training when required to do so. Compliance will therefore be monitored through the Performance and Individual Development process and through staff records.
- Mandatory E-learning training is provided and any subsequent face to face training requirements will be commissioned by the HEYCA.
- All new employees must receive any training requirements at the first opportunity following appointment if they are unable to provide a record and details of previous training which satisfy the requirements of the HEYCA. Staff will receive refresher training as necessary and may also be asked to attend further training if new risks are identified or if there are significant changes to the manual handling requirements of their specific role.

## 7 Occupational Health Arrangements

- The Occupational Health provider, in conjunction with the line manager, will provide health screening for all prospective new employees and where appropriate, health checks for those returning to work to assess their fitness for the work to be undertaken. Occupational Health will provide guidance to managers regarding specific elements of an individual's job to advise people who may be at risk from manual handling operations.
- The Occupational Health provider's responsibility will be to assess the health of prospective candidates against the physical requirements of the job, including manual handling.
- In response to management concerns, The Occupational Health provider will advise on how to ensure the environment does not adversely affect health.
- Any employee who may have been identified as having a work-related health concern may be referred for advice, information and assessment, or may make a self-referral to the Occupational Health Provider.

## 8 Arrangements for Review

No policy or procedure will remain operational for a period exceeding three years without a review taking place or as required legislative changes or following incidents.

## 9 Dissemination

The Strategic Director of Legal & Governance and Monitoring Officer will ensure through the HEYCA's line management arrangements, that manual handling Policy considerations are included in any future business planning.

Managers will ensure appropriate cascading of Manual Handling procedures throughout their area of responsibility to ensure that the needs of the organisation are identified, prioritised and that any appropriate resources are allocated.

## 10 Associated Documentation

Health and Safety Policy  
Incident Reporting Guidance

## 11 References

- 
- Health and Safety at Work etc: Act 1974
- The Manual Handling Operations Regulations 1992 (MHOR)
- The Lifting Operations and Lifting Equipment Regulations 1998 (LOLER)
- Provision and Use of Work Equipment Regulations 1998 (PUWER)
- The Management of Health and Safety Regulations 1999 (MOHASR)
- Reporting Injury, Disease, Dangerous Occurrences Regulations 1998 (RIDDOR)

## 12 Appendices

**Appendix 1** - Guidelines on the manual handling of loads

**Appendix 2** – HEYCA Risk Assessment form

## 13 Impact Assessments

### 13.1 Equality

HEYCA is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an Integrated Impact Assessment (QEIA) be carried out on a new policy that is likely to impact on patients, carers, communities, or staff.

Potential adverse impact on any protected group identified through the IIA will be monitored as part of the routine work to monitor compliance with the policy.

### 13.2 Bribery Act 2010

Due consideration has been given to the Bribery Act 2010 in the development (or review, as appropriate) of this policy document, further details can be found below.

The HEYCA follows good business practice as outlined in the Business Conduct Policy and the Conflicts of Interest Policy and has robust controls in place to prevent fraud, bribery, and corruption. Under the Bribery Act 2010 there are four criminal offences:

- Bribing or offering to bribe another person (Section 1)
- Requesting, agreeing to receive, or accepting a bribe (Section 2).
- Bribing, or offering to bribe, a foreign public official (Section 6).
- Failing to prevent bribery (Section 7).

### 13.3 General Data Protection Regulations (GDPR)

The UK General Data Protection Regulation (GDPR)/ Data Protection Act 2018 includes the requirement to complete a Data Protection Impact Assessment for any processing that is likely to result in a high risk to individuals. Consideration should be given to any impact the

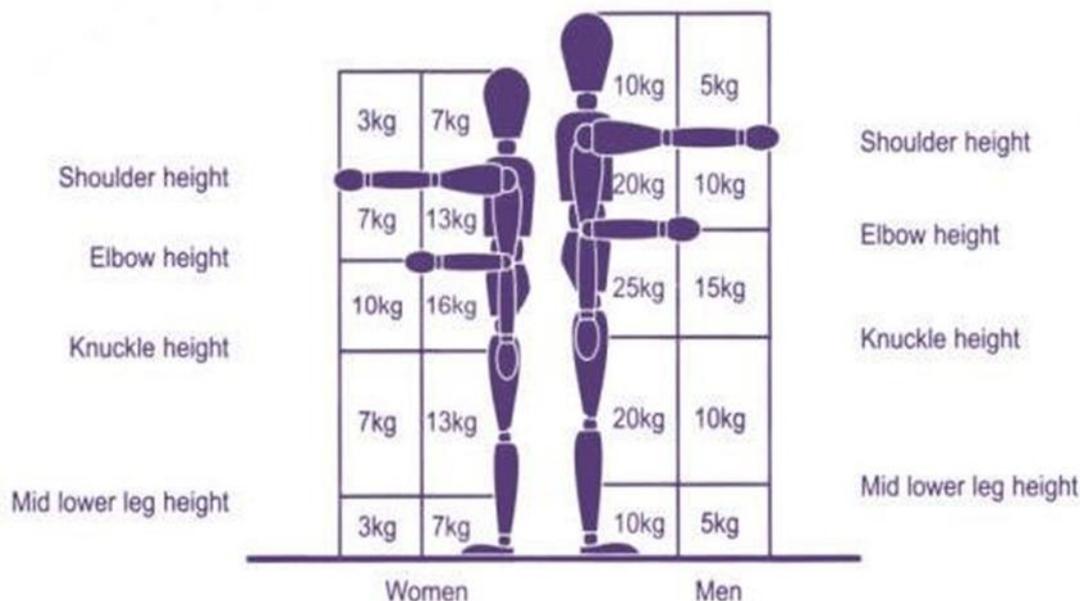
policy may have on individual privacy; please consult HEYCA Data Protection Impact Assessment Policy. If you are commissioning a project or undertaking work that requires the processing of personal data, you must complete a Data Protection Impact Assessment.

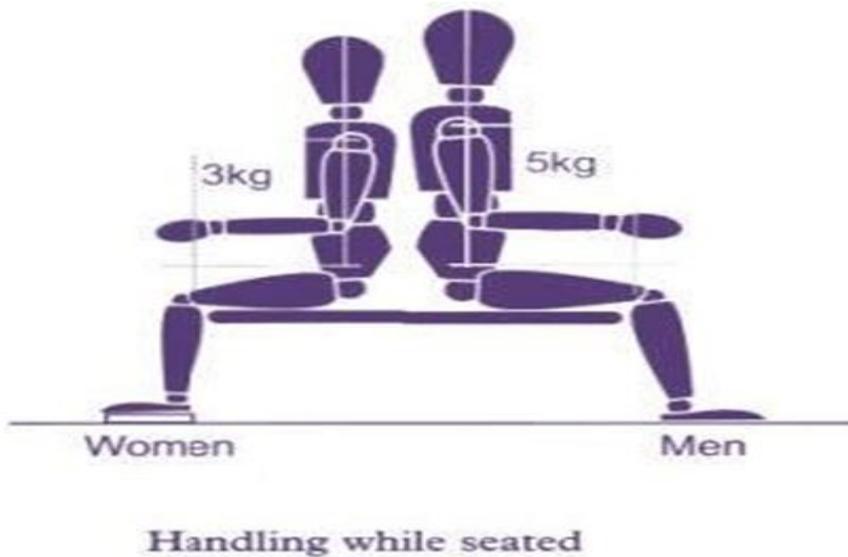
The HEYCA is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the Data Protection & Confidentiality Policy and related policies and procedures.

## Appendix 1 -

### Guidelines on the manual handling of loads

- Where reasonably practicable all hazardous manual handling must be avoided
- Managers are responsible for ensuring the systematic recorded assessment of all potentially hazardous movement of loads and implementation of safe systems of work
- Where assessment indicates that the load needs physical assistance to move it, methods that avoid manual lifting must be used, e.g., hoists, belts, trolleys, sack trucks, rollers etc
- The Health & Safety weight guidelines below serve as an indication for suitable assessment. These guidelines should be adjusted when working as a team and according to an assessment of characteristics of the load, nature of the task, working environment and individual capability. Where assessment indicates no option but to exceed these guidelines, a more detailed risk assessment must be undertaken, and the task carried out by suitably trained staff
- Lifting and lowering: When seated or standing for any manual handling task, select the lowest weight zone through which the hand passes during the task





### Pushing and pulling

For Information:

For women, a force of **16.6 kg** is the maximum force that should normally be required to start a load moving. **6.6 kg** is the maximum force that should normally be required to keep it moving.

For men, the maximum force for starting a load moving should normally be **25 kg**. While the maximum force required for keeping it moving should be **10 kg**.



Hand position when pushing / pulling.

Appendix 2 –

Hull and East Yorkshire Combined Authority Risk Assessment

(Item Description) RISK ASSESSMENT

1. Pre-Risk Assessment Score

Severity of risk (Number from chart below here)	Likelihood of risk (Number from chart below here)	Overall Risk Score (Total Number totaling matrix score)
--	--	--

KEY - FOR RISK STATUS

Almost certain	5	10	15	20	25
Likely	4	8	12	16	20
Possible	3	6	9	12	15
Unlikely	2	4	6	8	10
Rare	1	2	3	4	5
Probability / Severity	Negligible	Minor	Moderate	Serious	Catastrophic

2. Hazard (i.e., Burn, Electric Shock, Trip etc.)	Who may be harmed (i.e., Staff, Visitor, Contractor etc.)	Control measures (i.e., Policy/ Procedure, Servicing, Signage, PAT tested, Incident reporting etc.)	Name of and responsibility of completion and annual review of the risk assessment
•	•	•	

Severity of risk (Number from Chart below here)	Likelihood of risk (Number from Chart below here)	Overall Risk Score (Total Number totaling matrix score)
--	--	--

3. Residual Risk Score

KEY - FOR RISK STATUS

Almost certain	5	10	15	20	25
Likely	4	8	12	16	20
Possible	3	6	9	12	15
Unlikely	2	4	6	8	10
Rare	1	2	3	4	5
Probability / Severity	Negligible	Minor	Moderate	Serious	Catastrophic

4. Name of person completing risk assessment:	Appointed person sign off:	Date:	Review Date:
(NAME)	(NAME)		

Signatures to confirm that this is a suitable and sufficient risk assessment and that stated control measures are in place. This assessment will be reviewed annually.

# DISCIPLINARY POLICY AND PROCEDURE

<b>Authorship:</b>	Strategic Director of HR & OD (Interim)
<b>Committee Approved:</b>	Executive Board
<b>Approved date:</b>	22/10/2025
<b>Equality Impact Assessment:</b>	10/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority Employees
<b>Policy Number:</b>	HEYCA Disc 1
<b>Version Number:</b>	v1.0

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approving body</b>	<b>Approval date</b>	<b>Date published on website</b>
1.0	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	22/10/2025	N/A

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## **1 Introduction**

Employees of Hull and East Yorkshire Combined Authority (the Combined Authority) are expected to maintain the highest standards of conduct and behaviour, including those set out within the Code of Conduct for Officers (Sect 5.2 of the Combined Authority Constitution <https://www.hullandeastyorkshire.gov.uk/constitution>).

It has established and maintains a Disciplinary Policy and Procedure to emphasise and encourage improvements in individual conduct and to provide prompt, fair, consistent and effective arrangements in the treatment of employees when dealing with alleged breaches of conduct matters. Wherever appropriate, informal action will be used in the first instance.

## **2 Purpose and Scope**

The Disciplinary Policy and Procedure sets out the process through which cases of alleged personal misconduct by an employee of the Combined Authority will be considered. Matters relating to professional competence, job performance or attendance, except where poor performance or attendance can be attributed to misconduct, are out of scope of this Policy.

This policy applies to all Combined Authority employees. It does not apply to the Combined Authority's Mayor, Members, Co-opted Voting Members or others involved in supporting the business of the Combined Authority who are not directly employed by it.

Matters concerning the alleged behaviour of the Chief Executive (Head of Paid Service) will be considered by the Independent Person (Standards) in accordance with the principles set out in this policy. Their findings and / or recommendations would be received by the Executive Board and a final decision on what action to take, if any, will be approved by them.

## **3 Principles**

Alleged potential misconduct by an employee of the Combined Authority will be investigated promptly, fairly, consistently and effectively. All cases will be dealt with constructively and will balance a just and learning culture with holding to account where misconduct is found proven.

The Combined Authority will, at all times, take account of the potential effects of disciplinary allegations, investigations and hearings on staff, stakeholders and anyone else involved in its business – including those directly involved in the process. Every reasonable step will be taken to maintain a positive working environment and confidence in the organisation whilst dealing fairly and effectively with allegations of misconduct.

Where a matter arises has the potential to require disciplinary consideration, enquiries will be made to promptly establish the facts. A decision will then be made as to whether the issue can be dealt with informally or if it is necessary to enact the formal stages of this Policy.

In cases where formal allegations are upheld, the level of disciplinary sanctions to be considered range from a verbal warning through to dismissal, depending on the seriousness and / or repeated nature of the matters upheld. Every employee will have the right of appeal against any allegations upheld against them.

## **4 Definitions**

For the purpose of this policy, the employee facing the allegations will be known as the Respondent(s). Any reference to the respondent should be taken to include his or her representative. The term "Representative" is used throughout this procedure and shall be taken to include either a Trade Union/Professional Association Representative or another employee who is supporting the respondent (not in a legal capacity).

## **5 Roles and Responsibilities**

Good working relations are vital for the Combined Authority to operate successfully. There is a joint responsibility for management, trade unions and employees to accept the responsibility of working together on issues in good faith and with the shared intention of facilitating good working relations.

All matters of a potential disciplinary nature will be treated in the strictest of confidence.

### **5.1 Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

### **5.2 Executive Directors and Other Directors**

Executive Directors and other directors have responsibility for embedding this policy and procedure within their respective areas, ensuring its implementation and enactment as soon as practicably possible when alleged disciplinary matters are raised. This includes identifying or facilitating suitable capacity to support investigations within their service area in a timely manner.

### **5.3 Line Managers**

All line managers have a responsibility to implement this policy and to bring it to the attention of staff in their work area.

They must:

- Explain the rules, regulations and standards of conduct which employees are expected to observe / achieve
- Set a positive example by treating others with respect and setting standards of acceptable behaviour
- Promote a working environment where bullying and harassment is unacceptable and not tolerated
- Take appropriate and prompt action with a member of their staff where conduct falls short of that required by the organisation
- Treat all employees fairly by applying the policy consistently and ensuring that any personal information is kept in confidence
- Use the informal stage of this Process wherever possible and prior to any formal action being taken
- Signpost employees who need it to the relevant support.
- Consult with an HR representative at any time for advice and support

## **5.4 Employees**

All staff have a personal responsibility for their own behaviour and for ensuring that their conduct is in line with the high standards expected by the Combined Authority. It is also the responsibility of every member of staff to:

- Read, understand and comply with this policy
- Attend investigation meetings, as required
- Submit statements when requested in a timely way.

## **5.5 Specialist Human Resources Support**

The specialist HR function is responsible for supporting employees and managers in the application and interpretation of this policy to ensure that it is followed, fairly and consistently.

## **5.6 Trade Union Representation**

Trade Union representatives, where recognised, may provide advice and support for individuals who are subject to a disciplinary investigation or who raise concerns that give rise to the disciplinary investigation of another.

They also have a responsibility to ensure that the disciplinary policy and procedure are used properly, fairly and consistently.

## **6 Implementation**

This policy will be available electronically and communicated to staff via team meetings. Support is available to all Line Managers in the implementation and application of this policy.

## **7 Monitoring and Effectiveness**

. The implementation of this policy will be monitored on an annual basis by a report to the executive team. Data will be analysed and, together with review of feedback from any staff engagement and insight work, used to identify trends and interventions needed to address any issues. The policy and procedure will be reviewed and audited periodically by the HR Team in conjunction with Trade Union representatives, as appropriate, and otherwise immediately in the case of legislative or every two years, whichever is the sooner.

## **8 Associated Documentation**

- Employment Rights Act 1996
- Employment Act 2008
- Discipline and Grievance – ACAS Code of Practice
- Discipline and grievances at work: The ACAS guide
- Hull and East Yorkshire Combined Authority Bullying and Harassment Policy
- Hull and East Yorkshire Combined Authority Grievance Policy

## **9 Procedure – Part 1 Informal Process and Formal Investigation**

### **9.1 Informal Interviews and Counselling**

Every consideration should be given to achieving an informal resolution. Informal methods are often the quickest and most effective in dealing with unacceptable behaviour.

Where an employee's conduct or performance is not acceptable, their line manager should discuss the matter with them. This should take the form of a counselling interview and should attempt to determine whether there are mitigating reasons for the employee's conduct or performance or whether there are any problems facing the employee which can be overcome.

The line manager should ensure that the employee understands the allegations and concerns being raised and that these are being termed in an appropriate way. Counselling represents the first attempt to help an employee and may reveal the need for specific action for this purpose, e.g. training. The aim of counselling should always be to prevent the need for the use of the formal disciplinary procedure.

Minor breaches of discipline, unless persistent, are usually most effectively dealt with on an informal basis by an employee's line manager. Such informal interviews or informal warnings represent a first attempt to help an employee address the inappropriate behaviour or conduct.

## **9.2 Potential Disciplinary Event**

Should an employee's line manager judge that an incident is more than a minor breach of discipline or that the informal resolution is not appropriate, they must seek specialist advice from the HR function immediately to enable them to make a decision about what initial action is appropriate.

In reaching a decision on the appropriate action, line managers and HR should have due regard for the following considerations:

- Whether the matter is a conduct or capability issue
- Following a two-way discussion with the employee, is there sufficient understanding of the issues or concerns, and the circumstances relating to them, to provide reasonable grounds for the initiation of formal action or does further information or advice need to be sought
- With due regard to the matters at hand, would the application of a formal procedure represent a proportionate and justifiable response

The following must also be considered where it is concluded that a formal investigation is the most appropriate course of action:

- The potential impact on the health and wellbeing of the individual(s) concerned and on their teams and services, and immediate and ongoing direct support to be provided
- The allocation and maintenance of appropriate resources to a formal process to ensure that it is conducted fairly and efficiently
- The necessary steps to ensure that independence and objectivity is maintained at every stage of a formal process

## **9.3 Formal Investigation – Prerequisites**

### **9.3.1 Representation**

Employees must be made aware of their right to representation at the commencement of a formal investigation, either by a representative of a recognised trade union or professional association, where appropriate, or by a Combined Authority colleague not acting in a legal capacity.

This does not apply to suspension as suspension in itself is not disciplinary action.

Should an employee's chosen companion not be available at the time proposed for a hearing or an investigation meeting by the employer, the Combined Authority should postpone the meeting or hearing to a date and time proposed by the employee, provided that the alternative date and time is both reasonable and not more than five working days after the date originally proposed.

Where the person accompanying the employee under investigation is an employee of the Combined Authority, they shall be entitled to paid time off to undertake this role.

### **9.3.2 Local Representatives of Recognised Staff Organisations**

No disciplinary investigation should be commenced against a local representative of a recognised staff organisation until the circumstances have been discussed with a full-time officer of the organisation concerned. The full-time officer must also be invited to attend any investigative interview conducted.

This does not apply to suspension as suspension is not in itself disciplinary action. However, once a recognised representative of a staff organisation has been suspended; the appropriate full-time officer should be informed of the suspension.

### **9.3.3 Criminal Charges**

Any employee who is charged with, or convicted of, a criminal offence (including receipt of a summons) must inform their line manager immediately. In such circumstances, the line manager should seek advice from Human Resources as to what course of action may be appropriate. Notification about criminal proceedings or a conviction will not necessarily lead to disciplinary action being taken.

Following disclosure, the Combined Authority will determine what, if any, action should be taken after considering the facts of the case and the relevance of the charge or conviction to the job undertaken. Staff who are employed for all or part of their duty as a driver or where the requirement to drive is an essential part of their duties must inform their manager if charged with any driving offence, including speeding.

### **9.3.4 Suspension**

Suspension is not a disciplinary sanction but may be appropriate in potentially serious circumstances where it is considered that allowing the employee to continue working could place the safety/well-being of other staff or the employee themselves at risk or where it is felt that the continued presence of the employee may impair the investigation. Suspension may also be judged necessary in circumstances where police enquiries are made.

In determining whether suspension is an appropriate course of action, it may be necessary to involve the respondent in a preliminary discussion to establish particular facts before a decision can be made.

With the exception of where immediate safety or security issues are identified, the decision to suspend should be proportionate and timebound, and only applied when all alternatives have

been considered. Such options include alternative duties or working from another location/home.

The decision to suspend can only be made by an Executive Director of the Combined Authority.

The following provisions apply during a period of suspension:

- The continued suspension/exclusion of any individual should be subject to appropriate senior-level oversight and sanction.
- Suspension will be on full pay and will be confirmed in writing within 24 hours. Full pay shall equate to the rate applicable as if the employee were working.
- The employee should be seen in person and have the allegations put to them when the decision to suspend is taken. Requests for a representative to be present will not be refused however such action will not be delayed in the event of non-availability.
- In normal circumstances, an employee will only be suspended by a Manager with the authority to dismiss (see Part II, section 4.1), or a manager with delegated authority.
- Suspension will initially be for a maximum of 28 days, after which time the decision will be reviewed by the investigating officer. If investigations are continuing the suspension will be extended and reviewed monthly thereafter. The employee should be written to after each review to confirm the ongoing suspension.
- The continued suspension/exclusion of any individual should be subject to appropriate senior-level oversight and sanction.
- A condition of continued payment during suspension will be that the employee must be available during their normal hours to attend any meeting that may be convened as part of any investigation.
- In cases where a member of staff self-certifies or submits a doctors' sick note whilst suspended from duty, the suspension will over-ride the sick leave.
- The employee will not be allowed to enter the Combined Authority's premises other than with the prior permission of their line manager or suspending manager.
- Other than in exceptional circumstances the employee will be granted permission to enter the premises on request to consult with their representative.

Advice on the potential suspension of a member of staff should be sought from Human Resources prior to the decision being made.

#### **9.4 Formal Investigation**

Investigations into alleged breaches of discipline should be carried out without delay to ensure careful collection and assessment of facts.

Allegations should be clearly communicated to the respondent, poor framing of these can impact on the investigation process and the health and wellbeing of the individuals involved. All disciplinary investigations should be guided by the 'Code of Good Practice for Investigations', as attached in Appendix 3.

#### 9.4.1 Communications Plan

A communication plan should be established by the investigating officer with people who are the subject of an investigation or disciplinary procedure. The underlying principle should be that all communication, in whatever form it takes, is timely, comprehensive, unambiguous, sensitive and compassionate. The communication plan ensures that staff are contacted on a regular basis to keep them updated on the progress of any investigation and to check on their health and wellbeing. This plan should form part of the terms of reference for the investigation.

#### 9.4.2 Support During a Formal Investigation

Being notified of a disciplinary investigation and allegations of misconduct can be an upsetting and stressful time for the employee and other colleagues involved. Concern for the health and wellbeing of those involved in investigations and disciplinary procedures should be paramount and continually assessed.

A series of options have been put into place to enable staff to be supported. This support should also be extended to any witnesses involved in the process:

- **Occupational health service** - Any member of staff who is involved in a disciplinary investigation or process may find it helpful to talk to the occupational health service. All employees have a right to self-refer to occupational health.
- **Counselling** - Counselling services are confidential and can be accessed through the Occupational Health Service. All employees can access the counselling service.
- **Trade Unions** - The Combined Authority recognises the important role trade unions and staff organisations play in supporting investigations and staff are encouraged to seek advice from these representatives regarding their concerns. The Combined Authority will work in conjunction with the trade unions and staff organisations in addressing unacceptable and inappropriate behaviours.

#### 9.4.3 Formal Investigation Provisions

Where allegations of misconduct arise, the line manager of the respondent will not normally act as the investigating officer. This will normally be undertaken by a manager from a different department with support from a Human Resources representative. In certain circumstances, such as bullying and harassment cases, and in line with the below paragraph, it may be appropriate to appoint an independent investigating officer external to the Combined Authority. It is imperative that the investigating officer is clear about the allegation(s) they are investigating.

All measures should be taken to ensure that complete independence and objectivity is maintained at every stage of an investigation and disciplinary procedure, and that identified or perceived conflicts of interest are acknowledged and appropriately mitigated. It is the responsibility of the Investigating Officer to ensure that the investigation does not become unnecessarily protracted and is conducted in a timely manner.

The role of the investigating officer is to establish the relevant facts of any particular case and to make recommendations to the manager on whether the case should progress to a formal hearing or whether there appears to be no case to answer. In the event of a formal hearing, the investigating officer will present the facts objectively at a hearing using such evidence or witnesses as they deem necessary in the interests of natural justice.

The investigating officer will, with due notice; interview any complainant(s) and the respondent(s) to determine what further evidence might be required and to estimate the likely timetable for the completion of the investigation.

The respondent is entitled to be represented by a recognised Trade Union/Professional Organisation representative or work colleague (not acting in a legal capacity) in the course of any investigatory interview or subsequent hearing. There is no right to legal representation under this procedure.

Complainants and witnesses will not normally be represented but may, for example in complaints of harassment or bullying, be supported by a recognised trade union representative or Combined Authority colleague (not acting in a legal capacity). Those undertaking a supporting role will not be entitled to take part in the proceedings.

Investigations will be conducted as openly as possible, balancing the dignity and confidentiality of the individuals concerned with the wider interests of the Combined Authority and its staff.

#### **9.4.4 Formal Investigation Outcome**

The investigating officer is responsible for determining the appropriate course of action at the conclusion of the investigation and report this to the relevant senior manager.

Options will normally be limited to:

- i) Take no action, in which case any reference to the matter will be removed from the personal file
- ii) Deal with the matter informally, in accordance with Section 9.1 above.
- iii) If appropriate, offer the parties counselling or conciliation, which would need to be agreed with the parties involved and with a clear understanding of the timescales for, and objectives of, such action. The other options remain available to the line manager in the event that counselling or conciliation does not resolve the issue.
- iv) Proceed to a formal disciplinary hearing in accordance with Section 10 below.

Any alternative options must be discussed with Human Resources in advance of a decision. The outcome will be confirmed to the relevant parties in writing. It should be stressed that a decision to pursue a specific course of action does not indicate guilt or innocence, this can only be determined by a properly constituted disciplinary or appeal hearing.

## **10 Procedure Part 2 – Formal Disciplinary Hearing**

A disciplinary hearing will be conducted by a panel comprising a manager with HR support, neither of whom should have any previous involvement in the investigation. It will be conducted in up to three main stages, as follows:

- Disciplinary Hearing Letter
- Hearing and, if required
- Appeal.

### **10.1 Disciplinary Hearing Letter**

Unless otherwise mutually agreed, the respondent must be notified of the following in writing at least seven working days in advance of the disciplinary hearing:

- The purpose of the hearing
- The specific nature of any allegation(s), and
- The right to representation.

Where dismissal is a possible outcome, the letter should also inform the respondent that this is a possible disciplinary sanction available to the panel if the case is proven.

All documentary information, including witness statements that will be presented to the hearing panel, will be provided to the respondent at this stage. The respondent(s) will have an opportunity to challenge or question any evidence presented to the disciplinary hearing.

A specimen disciplinary hearing invitation letter is set out at Appendix 6.

### **10.2 Hearing**

Hearings will follow the procedure as detailed in Appendix 4.

#### **10.2.1 Hearing Particulars**

The respondent should be given the opportunity to state their case fully at the hearing. If it transpires that more time is needed for further investigation, the hearing should be adjourned and resumed later.

Any concerns or questions concerning the arrangements for the hearing should be notified to the line manager at the earliest opportunity, who will attempt to resolve such issues in a fair and reasonable manner.

Where, having agreed the arrangements for hearing in good time, either party fails to appear without good cause the panel may choose to adjourn the hearing or to proceed with the case in their absence.

The decision of the hearing will, wherever possible, be given to the respondent at the meeting and will, in any event, be confirmed in writing within seven days of the hearing. The letter of confirmation will include, if applicable, details of the right of appeal.

A specimen letter is attached as Appendix 7.

### 10.2.1 Disciplinary Sanctions Available

In cases where the allegations are proven on the balance of probabilities, decisions relating to the level of disciplinary action to be taken will be a matter of judgement for the panel. The panel must however have due regard to the following:

- i) the seriousness of the disciplinary breach in question
- ii) the relevance and context of the facts/information presented
- iii) the employee's previous employment record and the existence of any current and relevant disciplinary warnings
- iv) matters relating to fairness, consistency and the substantial merits of the information presented
- v) any mitigating factors

A list of examples of issues that the Combined Authority is likely to consider as misconduct and gross misconduct can be found in Appendix 2.

Within the terms of this Policy and Procedure, there are six possible outcomes following, as set out in the Table 1 below.

**Table 1**

Sanction	Length of Time on Personal File	Authorising Manager	Appeal to
No Action	n/a	n/a	n/a
Verbal Warning	6 months	Line Manager	Service Director
First Written Warning	12 months	Line Manager	Service Director
Final Written Warning	12 months	Service Director	Executive Director
Downgrading, Redeployment or Transfer**	12 months	Service Director	Executive Director
Dismissal (with or without notice)	n/a	Executive Director	Chief Executive (Head of Paid Service) or Strategic Director of HR & OD

### 10.2.2 Disciplinary Sanctions Guidance

The following provides a guide to the applications of sanctions available, however, disciplinary hearing panels must have full regard to the factors set out in Section 10.2.1. when reaching a decision on sanction.

- A **First Written Warning** will most commonly be the sanction where a case is upheld and there are no other warnings on file.
- A **Final Written Warning** will normally be the sanction should the matter upheld be sufficiently serious or in circumstances where there remains an active First Written Warning on file when a further offence is proven on the balance of probabilities or

insufficient evidence is available to demonstrate adequate improvement has been made. A Final Written Warning can be extended to 24 months in particularly serious circumstances.

In the case of a Final Written Warning, it must be made clear to the respondent that any further misconduct or inappropriate behaviour of a similar nature could lead to dismissal, and this must be recorded as part of the written confirmation.

- **Downgrading, Redeployment or Transfer** may be considered as an alternative to dismissal.
- **Dismissal** (with notice) would normally be the outcome where a previous final written warning remains active, conduct remains unsatisfactory and a second disciplinary hearing finds that the employee still fails to reach the required standard.

The employee must be informed, in writing, of the reasons for dismissal, the date on which employment will be terminated, of the right to appeal and the time limit for such an appeal.

- **Dismissal** (without notice or pay in lieu of notice) would normally apply in cases of gross misconduct. Where an allegation of gross misconduct is proven on the balance of probabilities, the employee will normally be dismissed even where they have no active warnings on file.

## 11 Appeal

An employee has the right to appeal against any sanction applied. The appeal will be considered by the authorised person as set out in Table 1 of Section 10.2.1.

## 12 Record Keeping

It is the responsibility of the Line Manager to keep a confidential record of the disciplinary action taken, together with any supporting material. A copy of the final outcome correspondence will be retained on the employee's personal file. Human Resources will retain all other papers relating to the investigation/disciplinary hearings.

Warnings are active from the date and time of issue for the periods detailed in Section 10.2.1. In accordance with the principles outlined in Section 98 of the Employment Rights Act 1996, a record of all inactive warnings will be retained on the employee's file (for the duration of the whole employment period) and will normally be disregarded in determining a disciplinary penalty.

The Combined Authority is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. Further detail can be found in the Combined Authority Data Protection and Confidentiality policies and procedures.

Data is held and destroyed in accordance with the provisions of Data Protection legislation and relevant Combined Authority policy.

## 13 Impact Analysis

### 13.1 Equality

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.



## APPENDIX 1

### STANDARDS OF PERFORMANCE AND CONDUCT

This guide aims to give an indication of the standards of performance and conduct expected of all staff employed by the Combined Authority. It should be read in conjunction with the Code of Conduct for Officers (Sect 5.2 of the Combined Authority Constitution <https://www.hullandeastyorkshire.gov.uk/constitution>).

The Combined Authority recognises that this guide cannot cover every situation that arises and that the guidelines or rules may vary according to type of work, working conditions and size of department.

**Department Rules** - In addition to these standards and to Combined Authority policies, some Departments may have specific rules which will relate to the activities of the Department (e.g. safe handling of dangerous substances, safe use of machinery and equipment etc.)

### **Standards of Conduct**

All staff should be aware that they will be seen as representatives of the Combined Authority. It is therefore important that they present a professional and caring image to the public, visitors and colleagues. There are several sources of guidance on the expected standards of conduct within the Combined Authority, with which all staff should be familiar, including:

- Staff induction process
- Performance management documents
- Contract of Employment
- Code of Conduct for Officers

As a general guide, all employees of the Combined Authority will be expected to:

- Respect and protect the dignity of local residents and colleagues
- Observe health and safety policies and safe working practices at all times
- Work effectively and constructively, individually and as part of a team
- Demonstrate the highest standards of honesty and integrity
- Attend work punctually and regularly
- Obtain the appropriate approval for any absence or flexible working
- Carry out reasonable requests or instructions from managers
- Be aware of, and adhere to, Combined Authority policies and procedures.



## **APPENDIX 2**

### **EXAMPLES OF MISCONDUCT / GROSS MISCONDUCT**

Please note that this list is neither exclusive nor exhaustive and each case will be considered on its own merits.

#### **Misconduct**

- Failure to adhere to working hours
- Unauthorised absence from duty
- Refusal or failure to obey a reasonable instruction
- Criminal activities other than those classed as gross misconduct
- Disregard of safety practices, procedures and rules
- Unauthorised presence on Combined Authority property
- Unauthorised use of Combined Authority equipment
- Unauthorised destruction, alteration, addition to or erasure of official documents
- Being an accessory to a disciplinary offence by another employee
- Abusive behaviour toward another employee, visitor or member of the public
- Wilful hindering of production of work schedules
- Deliberate misuse or abuse of the Combined Authority 's information technology equipment, facilities or procedures
- Failure to follow Combined Authority procedures and policies.

## **Gross Misconduct**

- Dishonesty, including fraud, theft or providing false information e.g. on a timesheet or travel claim form
- Failure to disclose information e.g. relationship to a Director or holder of senior office at the Combined Authority
- Dishonesty, including fraud, theft or providing false information e.g. on a timesheet or travel claim form
- Corruption, receipt of money, favours or excessive hospitality in respect of services rendered, or any other act not in accordance with the Officer Code of Conduct
- Abusive or violent behaviour including threats and verbal or physical assault, at any time whilst on duty or on Combined Authority premises
- Negligence in the performance of duty, including dereliction of duty. (This may include an action or omission that compromises the safety of others)
- Wilful damage to Combined Authority property or equipment
- Breach of confidentiality
- Unauthorised or inappropriate use of Combined Authority vehicles, equipment or resources
- Criminal offences that might affect a person's suitability for their job or where there has been a failure to disclose convictions/proceedings
- Loss of, or failure to obtain qualifications required by law, or by the Combined Authority, for performance of duty (e.g. driving licence, professional registration)
- Being unfit for duty through alcohol or substance misuse
- Illegal possession, use and/or distribution of drugs
- Professional misconduct
- All forms of harassment, bullying or intimidation
- Discrimination which contravenes Equality Act legislation
- Abuse of position or power
- Perpetration of a hoax practical joke or other malicious act resulting in serious disruption to services or staff

- Sleeping on duty, except when authorised
- Breach of IT policy e.g. email or internet usage
- Misuse or failure to safeguard confidential information will be regarded as misconduct/gross misconduct

It should be noted that misconduct of some of the types shown above, if occurring outside the course of work, may still result in disciplinary action if the misconduct results in the impairment of, capability, suitability or acceptability of the employee to perform their job with the Combined Authority effectively or if the misconduct brings the Authority into disrepute.

### **APPENDIX 3 – CODE OF PRACTICE FOR GOOD INVESTIGATIONS**

Before holding a disciplinary hearing, it is crucial an employer has sound evidence on which to base their decisions. Failing to conduct a full investigation, in all but the most exceptional of circumstances, may render a dismissal unfair and result in costly consequences in terms of tribunal awards, and staff morale.

Investigations will be required within the Combined Authority in response to a wide range of situations, including but not limited to:

- Disciplinary allegations
- Grievances
- Complaints about discrimination, harassment or bullying
- Complaints from members of the public
- Personal injury claims
- Allegations of fraud

The Combined Authority also has a Whistleblowing Policy and harassing or victimising a whistleblower (including informal pressures) will be considered a serious disciplinary offence and will be dealt with under this procedure.

It is essential to ensure that investigations are conducted promptly, thoroughly and fairly. The following guidelines should therefore be applied in all cases:

1. The purpose of any investigation is not to build a case or a defence, but to establish the facts
2. In cases of alleged fraud, the Combined Authority's Section 73 officer should be notified and involved immediately
3. The investigating officer should, without delay, obtain statements from any witnesses, together with other relevant documentary information
4. Adequate time and notice of meetings should be given to employees who need to be interviewed or produce statements. Where the employee to be interviewed is the subject of a complaint or allegation, they must be provided with details of such complaint or allegation in advance of the interview
5. All staff being interviewed should be given a reasonable opportunity to obtain support and/or guidance from a trade union or staff organisation, or from a work colleague
6. The initial evidence gathered should be used to prepare an estimate of the time and resources needed to complete the investigation
7. The evidence collected should be tested for accuracy against other witness accounts and/or documentary evidence
8. Witnesses should be aware that statements prepared during the investigations will be used as evidence for any subsequent disciplinary hearing

9. Little reliance should be placed on 'hearsay' evidence unless this points to, or can be tested against, more reliable evidence
10. Every reasonable effort should be made to respect the confidence of all staff involved in the investigation. However, staff should be advised that unless there are exceptional circumstances, the respondent will be entitled to see all statements and interview records in the event of formal proceedings
11. The investigating officer should determine what evidence is relevant to the issue at hand, i.e. what helps to prove the facts rather than what strengthens or weakens the case with advice from Human Resources
12. The evidence collected should be used as the basis for a decision as to any further action that may be required
13. Once the investigation has sufficient evidence on which to base a decision, finish the investigation. The standard of proof for most internal investigations and any subsequent disciplinary hearing will need to be "on the balance of probabilities". The case does not have to be proved "beyond reasonable doubt" for it to stand up in a tribunal
14. Investigating officers should have due regard for the Acas Code of Practice on disciplinary and grievance procedures for relevant investigations. Further advice and guidance on conducting investigations is available from Human Resources.

#### **APPENDIX 4 – PROCEDURE TO BE FOLLOWED AT A DISCIPLINARY HEARING**

The following is a guide as to the recommended procedure to follow at a Disciplinary Hearing however it should be noted that the Chair of a panel may vary this process as appropriate to ensure exploration of all the facts and circumstances.

If the respondent, or their representative, is unable to attend the respondent will need to provide reasonable notice and reasons for being unable to attend and the hearing will be rescheduled within five working days of the original date, where possible. If the respondent fails to attend the hearing without a reasonable explanation or is persistently unable to do so (for example for health

reasons), the panel may choose to proceed and make a decision based on the available evidence without the respondent being present at the hearing.

1. The Chair of the panel hearing the case (“The Chair”) will introduce the parties and ensure that any specific arrangements, such as an induction loop facilities, interpreter(s) or signer(s) have been made and are satisfactory.
2. The Chair will ensure that the respondent has been given an opportunity to be represented if they so wish. Representation may be from a recognised trade union or staff organisation, or from a work colleague. There is no right to legal representation in this process. Witnesses are not entitled to representation but may, under certain circumstances, have a recognised trade union or staff organisation representative or work colleague acting in a supportive role who will not be entitled to take any part in the proceedings.
3. Observers may be allowed at the discretion of the Chair and following discussion with the parties. Observers will not be allowed to take any part in the proceedings.
4. The Chair will ensure that all parties understand the purpose of the hearing and the procedure to be followed. The Chair will request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the hearing and advise that the Combined Authority expressly prohibits the recording of meetings.
5. The Chair will ensure that any evidence to be considered at the hearing has been produced and exchanged in advance of the hearing. Any request to submit additional evidence in the course of the hearing will be determined by the Chair after due consideration of the interests of natural justice and the potential disadvantage to any party. Where additional evidence is allowed, the parties should be given a reasonable time to consider it before proceeding.
6. The investigating officer will be asked to present the facts from the investigation process, using written statements and witnesses as appropriate. The key facts should normally be summarised in writing and circulated to the parties in advance of the hearing.
7. Where witnesses are called to give evidence the investigating officer will question each witness first, followed by the respondent or his/her representative and the Chair or panel members. The investigating officer may re-examine each witness to clarify any point raised in the questioning.
8. The respondent is generally entitled to be present throughout the hearing. However, in exceptional circumstances, e.g. harassment, it may be deemed more appropriate to keep the parties separated and for the right to question to be exercised by the respondent’s representative. In such cases, all reasonable care must be taken to ensure that the process does not unduly disadvantage the respondent.
9. When the investigating officer has finished presenting the facts, they may be questioned by the respondent, or his/her representative, and the Chair or panel members.

10. The Chair will then invite the respondent or his/her representative to respond to the findings of the investigating officer, with particular regard to any findings of fact that might be in dispute. Witnesses may be called in support of the respondent and may be questioned by the investigating officer, Chair or the panel members. The respondent or his/her representative may re-examine witnesses to clarify any issues raised in the course of questioning.
11. When the respondent has completed his or her response, the Chair or panel members may ask any final questions.
12. The investigating officer may finish by summing up their case followed by the respondent having the opportunity to sum up. No further questions will be taken at this stage.
13. No presentation may be interrupted by the other parties except to raise a procedural point or when called upon to question witnesses. The Chair or panel members may, however, question any of the parties at any time if they believe that to be in the interests of natural justice.
14. The parties, including the investigating officer, will then be asked to leave the room whilst the Chair/panel considers the evidence and reaches a decision.
15. The Chair/panel must first determine whether, on the basis of the evidence put to the hearing, the allegations are proven. The Chair/panel may require access to additional information in order to clarify points or need time to reach a decision. In such circumstances a further meeting would be set up as soon as possible when additional information could be presented and/or a decision reached and communicated. If the case is not proven, the matter will be closed and any reference to the allegations will be removed from the personal file.
16. If the case is proven, details of the respondent's employment record should be taken into account, including any current and relevant disciplinary warnings, when deciding on the sanction to be applied. In circumstances where there is a current disciplinary warning(s) a panel considering further disciplinary action would have the following options:
  - a. take no further action
  - b. issue a warning
  - c. issue a more serious warning/dismissal decision if the current breach is shown to be related to a previous warning
  - d. issue a further disciplinary warning if the current breach is unrelated to previous matters
  - e. consider all previous matters and issue a more serious warning/dismissal decision on the basis of serious misconduct.
17. Once a decision is made, the investigating officer and the respondent should then be recalled to the hearing and informed of the outcome.
18. The Chair/panel must confirm any decision in writing within 7 days to the employee. The letter will cover the following points:

- a. summarise the allegation(s) made
- b. identify the panel’s conclusion(s) from the information presented
- c. state any disciplinary action taken along with any relevant timescale
- d. identify the consequences of any repetition of the disciplinary breach
- e. where an improvement in conduct is required identify the level of improvement along with any timescales which are to apply. (Any review process should stipulate whether it will be continuous or conducted at the end of a specified period)
- f. establish the right of appeal and the timescale and process for making this request.



**APPENDIX 5 – SPECIMEN LETTER – CONFIRMATION OF SUSPENSION**

Date  
Name  
Address

Dear.....

**SUSPENSION FROM DUTY**

I am writing to confirm the details of your meeting with me on [date]. In the presence of [name & job title], you were suspended from duty with immediate effect and until further notice. Your suspension is NOT a disciplinary sanction and will be reviewed on a monthly basis. Your suspension is pending the outcome of a full and thorough investigation of the alleged incident that: on [date] you (provide summary of allegations here)

I recognise this may be an upsetting and stressful time for you. Concern for your health and wellbeing is paramount throughout this process and I would like to remind you of the support available. Section XX of the Disciplinary Policy and Procedure details the support which is available to you via the Combined Authority.

You will be contacted separately regarding details of an investigation meeting where you will be asked to respond to the allegations being made against you. Once the investigation is complete a decision will then be made as to whether to refer this matter to a formal hearing in accordance with the Combined Authority's Disciplinary Policy and Procedure, a copy of which is enclosed, and you will be advised accordingly.

During your suspension you will receive normal pay. You must not contact any of the parties involved in the allegations, discuss the allegations with Combined Authority staff, other than your representative, or enter Combined Authority premises without my prior approval during the period of your suspension.

You must remain contactable during normal working hours and should continue to follow the normal procedures in the event of absence or any application for annual leave. You may consider it advisable in the meantime to consult a recognised Trade Union Representative for advice. I enclose a second copy of this letter for your representative (if you wish). If you have any queries with regard to your suspension or the subsequent process, please do not hesitate to contact [name of HR rep] on [telephone number].

I appreciate that this may cause you some anxiety and stress and would like to remind you again of the support available through the Combined Authority such as confidential staff counselling via occupational health, if you feel this would be beneficial please do let me know and I can refer you otherwise occupational health can be contacted on XXX.

Yours sincerely,

Title  
c.c.

Encs. Copy of letter  
Disciplinary Policy and Procedure



**APPENDIX 6 – SPECIMEN LETTER – REQUEST ATTENDANCE AT DISCIPLINARY HEARING**

*(This letter should be sent from the manager who will present the management case at the hearing)*

Date  
Name  
Address

Dear .....

## DISCIPLINARY HEARING

Further to the investigation process, I am writing to request that you attend a disciplinary hearing in [venue] on [date and time].

At this meeting you will be asked to respond to the following allegation[s]:

*List incidents or other cause which has given rise to the need for disciplinary hearing.*

The meeting will be held in the presence of [name & job title of panel members]. I will present the management case and will be assisted by (Human Resources rep if appropriate).

Copies of all statements/documents that will be considered at the hearing are enclosed for your information. [\*\*\*\* will be available to be called as a witness]. If you wish to call any witnesses, please confirm their names and details to me by (date).

The hearing will be held in accordance with the Combined Authority's Disciplinary Policy and Procedure and, as such, you are entitled to bring with you a representative of your recognised Trade Union or Professional Association, or a work colleague. I enclose a second copy of this letter should you wish to give it to a representative.

At the hearing you will be given every opportunity to state your case but I have to advise you that, following discussions and careful consideration of the evidence presented, disciplinary action may be taken against you [including the possibility of your dismissal (if appropriate)].

Please confirm your attendance and contact me if you have any questions regarding the procedures to be followed.

*If the member of staff has previously failed to turn up to a hearing you can add the following:*

Should you fail to attend without a good cause, the hearing will be held in your absence and a decision will be made using the evidence provided. You will be notified in writing of the outcome.

Yours sincerely

Title

c.c.

Encs. Copy of letter for representative  
Copies of statements/documents

**APPENDIX 7 – SPECIMEN LETTER – OUTCOME OF DISCIPLINARY HEARING**

*(This letter should be sent from the Chair of the Disciplinary Hearing)*

Date  
Name  
Address

Dear

**OUTCOME OF DISCIPLINARY HEARING**

I am writing to confirm the outcome of the disciplinary hearing held on [date, venue], which I conducted in accordance with the Combined Authority's Disciplinary Policy and Procedure. Also present were [names and job titles] and [you chose to be accompanied by [name, role of representative]] or [you chose not to be accompanied by a representative at this hearing].

The purpose of the hearing was to consider the following allegation(s):

[List purpose or allegation(s)]

The members of the disciplinary panel considered carefully all of the evidence presented at the hearing together with the written investigatory information before them.

[Outcome, summarising main considerations, mitigating circumstances, acknowledgements etc.]]

The decision of the panel was that you be issued with [sanction], which will remain on file for X months [Please refer to Table 1 of Section 10.2.1. of the Disciplinary Policy and Procedure for guidance], subject to no further breach of discipline.

[Detail any recommended corrective or remedial action and/or objectives for improvement] (if appropriate)

If at any time during the period this final written warning is in place any further disciplinary allegations are proven, it is highly likely that your employment will be terminated. You were advised of your right of appeal against this warning/dismissal and made aware that any such appeal should be made in writing to the Human Resources Representative [name/address] within X calendar days of the date of this letter.

If no case to answer The decision of the disciplinary panel was that there is no/insufficient evidence to/of XXX and therefore there is no case to answer.

Should you have any queries regarding the content of this letter please contact either myself on telephone no. or XXX Human Resources representative on telephone no.

Yours sincerely,

Name  
Job Title

c.c. Trade Union representative

# GRIEVANCE POLICY AND PROCEDURE

<b>Authorship:</b>	Strategic Director of HR & OD (Interim)
<b>Committee Approved:</b>	Executive Board
<b>Approved date:</b>	22/10/2025
<b>Equality Impact Assessment:</b>	10/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority Employees
<b>Policy Number:</b>	HEYCA Griev1
<b>Version Number:</b>	v1.0

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approving body</b>	<b>Approval date</b>	<b>Date published on website</b>
1.0	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	22/10/2025	N/A

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## 1 Introduction

Employees of Hull and East Yorkshire Combined Authority (the Combined Authority) may, from time to time, have problems or concerns with their work, working conditions or relationships with colleagues that they wish to raise with management.

Grievances are best dealt with at an early stage and informally with the immediate line manager or another senior manager if it isn't possible to raise with the immediate line manager. However, organisations are required to have formal procedures in place to consider cases left unresolved.

## 2 Purpose and Scope

The Combined Authority's Grievance Policy and Procedure provides the means through which fair and consistent consideration will be given to matters which cannot be resolved informally.

In some instances where a dispute occurs between employees it may be of use to consider a mediation service which aims to find mutually agreeable outcomes where conflict has occurred. It is important to note that the mediation service is informal, 'non-binding' and does not impact on the individual's right to instigate formal procedures if the mediation is unsuccessful.

ACAS (Advisory, Conciliation and Arbitration Service) guidelines state that to achieve fairness issues should be raised and dealt with promptly; parties should act consistently; investigations should be carried out to establish the facts; employees should be given an opportunity to put their case and given the right to be accompanied at any formal meetings; employees should be allowed to appeal against any formal decision made.

Employees may wish to seek independent advice or support from their recognised trade union, work colleague or professional body at any stage of the procedure. Failure to deal with a grievance in accordance with this policy and procedure may result in Employment Tribunal proceedings.

This policy can be used for any matter arising directly as a consequence of an employee's Combined Authority employment, except where another process exists for that purpose, such as:

- Matters relating to formal hearing outcomes, such as discipline, capability, attendance or redundancy
- Where the procedure that the employee is aggrieved about has its own appeal process
- Bullying and harassment or discrimination
- Whistleblowing
- Job evaluation grading/re-grading appeals
- Performance management / capability
- Matters raised by ex-employees. The Combined Authority's complaints process is available in such circumstances
- Matters outside of the decision-making remit of the officers able to hear the grievance, for instance Combined Authority policy decisions

The above list is not exhaustive.

The Policy applies to all current employees of the Combined Authority.

### **3 Definition**

Grievances are concerns, problems or complaints that employees raise with their employer.

Some concerns, problems or complaints may be dealt with more appropriately under other policies of the Combined Authority, for example the Bullying and Harassment Policy or Whistleblowing Policy.

The Grievance Procedure can be used for individual and collective grievances however it should not be used for matters which should more appropriately be raised via the Combined Authority's other consultative committees and arrangements, where established.

### **4 Roles and Responsibilities**

Good working relations are vital for the Combined Authority to operate successfully. There is a joint responsibility for management, recognised trade unions and employees to accept the responsibility of working together on issues in good faith and with the shared intention of facilitating good working relations.

All matters of a potential grievance nature will be treated in the strictest of confidence.

#### **4.1 Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

#### **4.2 Executive Directors and Other Directors**

Executive Directors and other directors have responsibility for embedding this policy and procedure within their respective areas, ensuring its implementation and enactment as soon as practicably possible when alleged grievance matters are raised. This includes identifying or facilitating suitable capacity to support investigations within their service area in a timely manner.

#### **4.3 Line Managers**

All line managers have a responsibility to implement this policy and to bring it to the attention of staff in their work area.

They must:

- Explain the rules, regulations and standards of conduct which employees are expected to observe / achieve
- Set a positive example by treating others with respect and setting standards of acceptable behaviour
- Promote a positive working environment where staff problems, concerns or complaints are considered at the earliest possible opportunity and resolved informally, wherever possible.

- Treat all employees fairly by applying the policy consistently and ensuring that any personal information is kept in confidence
- Signpost employees who need it to the relevant support.
- Consult with an HR representative at any time for advice and support

#### **4.4 Employees**

All staff have a personal responsibility for their own behaviour and for ensuring that their conduct is in line with the high standards expected by the Combined Authority. It is also the responsibility of every member of staff to:

- Raise any problems, concerns or complaints at the earliest possible opportunity so that matters can be resolved swiftly and informally, wherever possible
- Following the stages of this policy and procedure
- Seek advice from recognised trade union colleagues, where established and appropriate to do so

#### **4.5 Specialist Human Resources Support**

The specialist HR Function are responsible for supporting employees and managers in the application and interpretation of this policy to ensure that it is followed, fairly and consistently.

#### **4.6 Trade Union Representation**

Trade Union representatives, where recognised, may provide advice and support for individuals who participate in a grievance investigation. They also have a responsibility to ensure that the Grievance Policy and procedure are used properly, fairly and consistently.

### **5 Implementation**

This policy will be available electronically and communicated to staff via team meetings. Support is available to all Line Managers in the implementation and application of this Policy.

### **6 Monitoring and Effectiveness**

The implementation of this policy will be monitored on an annual basis by a report to the executive team. Data will be analysed and, together with review of feedback from any staff engagement and insight work, used to identify trends and interventions needed to address any issues. The policy and procedure will be reviewed and audited periodically by the HR Team in conjunction with Trade Union representatives, as appropriate, and otherwise immediately in the case of legislative or every two years, whichever is the sooner.

### **7 Associated Documentation**

- Employment Rights Act 1996
- Employment Act 2008
- Discipline and Grievance – ACAS Code of Practice
- Discipline and grievances at work: The ACAS guide
- Hull and East Yorkshire Combined Authority Bullying and Harassment Policy
- Hull and East Yorkshire Combined Authority Disciplinary Policy and Process

## **8 Procedure – Stage 1 - Informal Process**

Prior to an employee, or a representative of the group in the case of a collective grievance, taking up a formal grievance under this Policy, they are advised to raise the matter informally with their immediate Line Manager or a senior manager in an attempt to resolve the issue by informal discussion.

Such a discussion will ensure that the employee's Line Manager is aware of the employee's concerns and will assist in determining whether the grievance can be resolved without entering the formal stage. This approach can often result in a speedier resolution of the matter and promote collaborative working relationships which, in turn, can reduce the level of anxiety felt by the employee.

Whilst employees are expected to consider if they can attempt to resolve their grievance informally in the first instance, it is acknowledged that this will not always be possible or appropriate. Where informal resolution has been sought but has not been successful, employees retain the right to pursue their grievance under the formal stage of this Policy. An employee or Line Manager should proceed directly to the formal stage should they consider the matter too serious to raise informally.

The submission of a formal grievance must be within 10 working days of the informal meeting / verbal outcome from the line manager, unless extenuating circumstances are presented and agreed.

## **9 Procedure - Stage 2 – Formal Grievance**

The employee should set out the facts of the grievance in writing (preferably on the form provided at Appendix 1) to their Line Manager, detailing:

- the basis of the concern, problem or complaint
- any informal attempt(s) at resolution, and
- what, in the employee's opinion, would be a satisfactory remedy

If the grievance is about the Line Manager, it should be raised in writing with the Line Manager's immediate Manager.

The relevant Manager will:

- acknowledge in writing receipt of the facts of the grievance
- investigate the issue as appropriate

A formal investigation may not be required in all grievances raised, however, where the manager deems an investigation to be required, they will act as Investigating Officer, supported by an HR advisor. In such circumstances, they will:

- arrange a meeting with the employee to explore the problem and any possible resolutions, notifying the employee of the date and the right to be accompanied by either a recognised trade union representative or work colleague.

This will normally be done within 10 working days of the date of acknowledgement of the grievance

- Agree the reasonable timing and location of meeting and, in general, give a minimum of two working days' notice of a meeting will be given
- Provide a written response to the employee will normally be given within 10 working days of the meeting, confirming the outcome including any actions or recommendations to take forward, together with their timescales

Meetings must allow the employee to explain their case and for further investigation where necessary. Every effort should be made to investigate the grievance in an unbiased, objective way and giving due consideration to any underlying factors which may have contributed to the grievance. The employee's representative, if applicable can address the meeting to support and sum up the employee's case. They do not however have the right to answer questions on the employee's behalf.

In the case of a collective grievance, a maximum of three nominated representatives of the group would typically be invited to attend the formal meeting and they will be asked to appoint a single representative to act as a spokesperson during a grievance hearing or appeal. The right to be accompanied will apply.

The procedure for handling a grievance hearing is outlined at Appendix 2.

## **10 Appeal**

If action taken at the formal stage does not resolve the problem the employee can submit an appeal, in writing to the Strategic Director of HR and OD, within 10 working days of receipt of a written reply from the manager who dealt with the formal stage. In submitting an appeal, the employee should set out:

- the basis of their concern, problem or complaint
- why they are dissatisfied with the response provided during the formal stage, and
- their opinion as to what a satisfactory remedy would be

All appeals will be heard by an Executive Director, or their representative, together with an HR representative. No appeal panel members shall have any previous involvement in the case.

An appeal hearing will normally be held within 20 working days of receipt of the appeal, unless otherwise agreed by all parties. They will be conducted in accordance with the appeals procedure outlined in Appendix 2 of this Policy.

The appeal is the final stage in the grievance procedure. The decision of the panel will be final. The panel will write to the employee or representative confirming the outcome of the meeting within 5 working days of the meeting.

## **11 Unresolved Collective Grievance**

Where a collective grievance remains unresolved following exhaustion of the procedure, all parties may agree for the matter to be referred to the Advisory, Conciliation and Arbitration Service (ACAS) for conciliatory and/or mediation. This would on the basis that ACAS is empowered to provide advice on procedures for avoiding and settling disputes and workers grievances.

## **12 Status Quo Working**

In the event of a grievance being lodged relating to a pre-existing working practice or agreement which cannot immediately be resolved, then those working practices or agreements shall continue to operate pending a settlement, except where there is a manifest emergency situation in relation to working practice or services provided.

In such circumstances, a decision regarding 'status quo working' will be agreed with the Chief Executive (Head of Paid Service) or Strategic Director of HR & OD.

## **13 Record Keeping**

Records will be kept detailing the nature of the grievance raised, the Combined Authority's response, any action taken and the reason for it. Managers are expected to maintain a written record at all stages of the process in accordance with the Grievance Policy.

A copy of this will be retained on the employee's personal file for the duration of the process and for 12 months following the resolution or completion of the process. A copy of relevant background papers and the outcome correspondence will also be kept on the file. Human Resources will retain all other papers relating to a grievance, e.g. investigation/meeting notes.

All records will be kept in a confidential environment and retained in accordance with the relevant legislation and Combined Authority policies.

## **14 Impact Analysis**

### **14.1 Equality**

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

## APPENDIX 1 - NOTIFICATION OF GRIEVANCE FORM

*(to be completed following a failure to agree an outcome at Stage 1 – informal resolution)*

<b>Employee Name:</b>	
<b>Post(s)</b>	
<b>Department</b>	
<b>Base(s)</b>	
<b>Representative(s)</b>	
<b>Submitted To</b> (name of line or senior manager)	

I (or we) have discussed my (or our) grievance my (or our) Line Manager / Senior Manager named below on date:

<b>Name:</b>	
<b>Date</b>	

I (or we) remain aggrieved. In accordance with the Grievance Policy, I (or we) now inform you of the following matter and wish to proceed to Stage 2 of the process.

*(Please give as much information as possible, together with what would be your preferred resolution).*

<b>Name:</b>	
<b>Signed:</b>	
<b>Date</b>	

*When completed this form should be sent to the Manager or appropriate level of management.*

**Date received by Manager:**

## APPENDIX 2

### PROCEDURE FOR HANDLING A GRIEVANCE HEARING OR APPEAL AT STAGES 2 AND 3

#### Administration

Hearings at Stage 2 of the Grievance Procedure will be heard by the appropriate level of management (Officer) and supported by an HR Representative. They will normally be convened within 10 working days of the date of acknowledgement of the grievance and with at least two days' notice of the date and time of the hearing.

Appeals at Stage 3 will be heard by an Executive Director, or their representative, together with an HR Representative. No appeal panel members shall have any previous involvement in the case. They will normally be convened within 20 working days of the date of acknowledgement of the appeal and with at least two days' notice of the date and time of the appeal hearing.

Copies of all papers to be considered at the hearing or appeal must be provided for each panel member, management side representative, the employee and the employee's representative if applicable.

#### Procedure for Hearing:

At the outset of the hearing the Officer/Chair of panel hearing the grievance will:

- Outline the purpose of the hearing / appeal
- Confirm to the employee and all present, that the hearing will be conducted in line with the grievance procedure
- Introduce all present and state the capacity in which they are there
- If the employee is not represented / accompanied, the Officer / Chair hearing the grievance will check that he/she is aware of his/her right to be represented/accompanied and whether or not he/she is happy to proceed without representation/accompaniment
- The employee or their representative is asked to present their case and may call witnesses
- The management side representative may ask questions of the employee, their representative and witnesses, in order to clarify the issue
- The Officer/panel members hearing the Grievance / appeal may ask questions of the employee, their representative and witnesses, in order to gain a comprehensive understanding of the issue
- The employee or their representative may re-examine their witnesses on any points raised by the Officer or management side representative

- The management side representative shall present its case and may also call witnesses.
- The employee or their representative may question the management side representative and witnesses
- The Officer/panel members hearing the Grievance / appeal may then question the management side representative and witnesses
- The management side representative may re-examine its witness on any points raised by the employee or representative and the Officer
- Nothing in the foregoing procedure shall prevent the Officer/Chair, panel members or HR Representative from inviting the representative of either party to clarify or elaborate on any statement they may have made or from asking them questions as may be necessary
- Management side representative makes a final statement without introducing new evidence
- The employee or their representative makes a final statement without introducing new evidence.
- At the completion of the hearing of the evidence, the employee, their representative, and the management side shall withdraw
- The Officer/Chair and panel members hearing the Grievance / appeal shall adjourn and consider the evidence in private, only recalling both parties and the representative to clear points of uncertainty on evidence already given
- Where possible, the Officer/Chair conducting the meeting will give his/her decision at the time

Both parties will be informed of:

- The decision
- The reason for the decision
- What action will be taken (where applicable / if any)
- The decision will be communicated in writing within 5 working days
- The employee's right to appeal the matter to the next stage of the formal procedure (other than at Stage 3)

# BULLYING AND HARASSMENT POLICY

<b>Authorship:</b>	Strategic Director of HR & OD (Interim)
<b>Committee Approved:</b>	Chief Executive (Head of Paid Service)
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<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority Employees
<b>Policy Number:</b>	HEYCA B&H 1
<b>Version Number:</b>	v1.1

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.0	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	22/10/2025	N/A

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## 1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) has zero tolerance for bullying and harassment. It is committed to fair and equitable behaviour in the workplace, in order to attract and retain the best talent to deliver improved services to Hull and East Riding residents by creating an environment where employees reach their full potential.

All employees have the right to be treated with courtesy, dignity and respect. The impact on someone who is the subject of bullying or harassment can be profound; it can threaten an employee's job, limit their capability for promotion and training opportunities, and can adversely affect mental and physical health and wellbeing, as well as work performance.

There is a clear difference between robust management and bullying or harassment. Positive management support or action which responds to poor performance in a fair and consistent manner, and in accordance with Combined Authority policies and procedures, does not constitute bullying or harassment.

## 2 Purpose and Scope

The purpose of this Policy is to promote the respectful treatment of staff within the Combined Authority and to ensure employees are aware of the support available and the process to follow should they experience or witness unacceptable behaviour.

It sets out:

- The standards of behaviour expected to ensure dignity at work for all
- Examples of behaviour which is not acceptable and won't be tolerated
- The support available to staff who feel bullied, harassed or discriminated against
- The processes to follow, informally and formally, in such circumstances.

This Policy applies to all employees of the Combined Authority, as well as anyone involved in its activities, including contractors. It should also be read in conjunction with the Code of Conduct for Members, in the case of Members of the Combined Authority (Sect 5.1 of the Combined Authority Constitution) and the Code of Conduct for Officers, in the case of Combined Authority Officers (Section 5.2 of the Combined Authority Constitution).

The Combined Authority's Constitution can be found here:

<https://www.hullandeastyorkshire.gov.uk/constitution>

## 3 Principles

All staff and those involved in the business of the Combined Authority are entitled to work in an environment where they are treated with dignity and respect. Pressures at work or outside of work are not an acceptable reason for treating others without respect. The Combined Authority is committed to:

- Ensuring the dignity at work of all employees and those involved in its business
- Respecting and valuing differences

- Showing its commitment to equal opportunities for all
- Preventing acts of discrimination, exclusion, unfair treatment and other unacceptable behaviours
- Being open and constructive in its communications
- Being fair and just in our dealings
- Promoting positive behaviours throughout the Combined Authority

### **3.1 Unacceptable Behaviour**

The Combined Authority will not tolerate the unacceptable behaviours described in the Definitions (Section 8) of this policy. Sometimes it is very clear when someone's words or actions are not acceptable, and at other times, this can be a matter of individual perception. However it is important to remember that if an individual feels that behaviour is offensive to them, and the behaviour is considered serious or repetitive, it could be deemed as bullying or harassment – even if it was not intended to cause offense.

### **3.2 Bullying and Harassment**

Bullying or harassment can have a devastating effect on people at work, often causing anxiety and loss of confidence which can result in ill health and absence from work. It can also have a damaging effect on the working environment, creating tensions in the workplace which can lead to poor quality work, low morale and high turnover.

### **3.3 Good Working Relationships**

Good working relationships are important to creating a culture of dignity and respect. The Combined Authority is committed to encouraging good, honest, open communication at all levels in work teams and recognises the need to provide support for staff who work in isolation. Poor working relationships can contribute to workplace stress.

### **3.4 Speak Up and Speak Out**

It is up to all of us to speak up and speak out against bullying, harassment, discrimination and any unacceptable behaviour. If we all speak up when we see this sort of behaviour, we can make it clear that it is not acceptable and will not be tolerated. Everyone must take their responsibility to speak up seriously and do so courteously and with respect.

## **4 Roles and Responsibilities**

### **4.1 Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) has overall responsibility for this policy, ensuring it's implemented, monitored and reviewed on an ongoing basis.

### **4.2 Executive and Other Directors**

Executives and other directors have responsibility for embedding this policy and procedure within their respective areas, ensuring its implementation and enactment as soon as practicably possible when matters of bullying and harassment are raised. This includes identifying or facilitating suitable capacity to support investigations within their service area in a timely manner.

### **4.3 Line Managers**

All line managers have a responsibility to implement this policy and to bring it to the attention of staff in their work area, in order to establish and maintain a work environment which protects and promotes dignity at work and is free from bullying or harassment.

They must:

- Promote a working environment where bullying and harassment is unacceptable and not tolerated
- Tackle, and where possible, resolve incidents of inappropriate behaviour and bullying and harassment
- Treat each complaint seriously, sympathetically and with an open mind. Dealing with it promptly and confidentially, giving the employee and the alleged perpetrator full support during the whole process
- Set a positive example by treating others with respect and setting standards of acceptable behaviour
- Protect the dignity of all our employees and other individuals
- Provide advice, information and support that protects the dignity of workers
- Consult with an HR representative at any time for advice and support

### **4.4 Employees**

All staff have a personal responsibility for their own behaviour and for ensuring that their conduct is in line with the standards set out in this policy. They are also expected to:

- Set a positive example by treating others with respect
- Be aware of the Combined Authority's policy and comply with it
- Do not accept behaviour that is offensive or unwanted when directed against them or others, and take positive action to ensure that it is challenged and/or reported
- Be supportive of colleagues who may be subject to bullying and/or harassment

All members of staff are encouraged to report incidents of unacceptable behaviour and bullying and harassment to a manager, even if they are not the victim. If you are subject to bullying and/or harassment but do not feel able to talk about it yet, you should keep a record of the incidents including dates and times. You can also contact a specialist HR advisor, a manager from another team or Trade Union representative for advice and support.

### **4.5 Specialist Human Resources Support**

The specialist HR function is responsible for supporting employees and advising on the application and interpretation of the policy to ensure that it is followed, fairly and consistently. It will:

- Advise and support managers on the application of the policy
- Advise and provide support for managers and staff who are involved in incidents of harassment or bullying in the course of their employment
- Provide advice and support to staff that have witnessed possible incidents of inappropriate behaviour or bullying and harassment
- Advise on the effective implementation of the policy

- Monitor incidence of bullying and harassment and initiate appropriate action
- Review and amend the policy as necessary in partnership with trade union representatives and employees.

#### **4.6 Trade Union Representation**

Trade Union representatives, where established, provide advice and support for individuals who feel that they are being harassed or bullied or subject to unacceptable behaviour in the course of their employment, or are the subject of a complaint against them. Trade Union representatives may bring the complaint to the attention of the Combined Authority on behalf of an employee if the employee feels unable to do so directly themselves.

### **5 Implementation**

This policy will be available electronically and communicated to staff via team meetings. Support is available to all Line Managers in the implementation and application of this policy. Breaches of this policy may be investigated and may result in the matter being treated as a disciplinary offence under the Combined Authority's Disciplinary Policy.

### **6 Monitoring and Effectiveness**

The implementation of this policy will be monitored on an annual basis by a report to the executive team. Data will be analysed and, together with review of feedback from any staff engagement and insight work, used to identify trends and interventions needed to address any issues. The policy and procedure will be reviewed and audited periodically by the HR Team in conjunction with Trade Union representatives, as appropriate, and otherwise immediately in the case of legislative or every two years, whichever is the sooner.

### **7 Associated Documentation**

- Equality Act 2010
- Health and Safety at Work Act 1974
- Employment Rights Act 1996
- Protection from Harassment Act 1997
- Crime and Disorder Act 1998
- Employment Act 2002

### **8 Definitions**

#### **8.1 Unacceptable Behaviour**

The Combined Authority defines unacceptable behaviour as any form of conduct or behaviour of a physical, verbal or non-verbal nature which is unwelcome and causes detriment and has some or all of the following elements:

- Is unwanted, unsolicited, unreasonable and personally offensive to the recipient(s) (irrespective of the intentions)
- Creates an intimidating, hostile or humiliating work environment for the recipient(s) affecting their dignity whilst at work
- Fails to both respect the rights and recognise the impact that such behaviour may have on others
- Threatens job security or disadvantages the recipient(s) in some way

## 8.2 Harassment

In general terms, harassment is unwanted conduct affecting the dignity of employees in the workplace. It may be related to age, sex, race, disability, religion, sexual orientation, nationality or any personal characteristic of the individual, and may be persistent or an isolated incident. The key is that the actions or comments are viewed as demeaning and unacceptable to the recipient.

All employees are responsible for their own behaviour and should act at all times in a professional manner in line with the Combined Authority's values. Please note that people's behaviour in the workplace can sometimes vary on a daily basis. This policy is not intended to deal with occasional lapses of good manners unless a pattern of behaviour emerges which is perceived to be offensive or intimidating.

## 8.3 Bullying

Is characterised as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means intended to undermine, humiliate, denigrate or injure the recipient. Making the individual feel upset, threatened, humiliated or vulnerable and behaviour which undermines self-confidence and may cause suffering and stress. For practical purposes this is usually defined as something that has happened that is unwelcome, unwarranted and causes a detrimental effect. If employees complain they are being bullied or harassed, then they have a grievance which must be dealt with regardless of whether or not their complaint accords with a standard definition.

Bullying and harassment can often be hard to recognise, symptoms may not be obvious to others and may be insidious. Those on the receiving end may think 'perhaps this is normal behaviour in this organisation'. They may be anxious that others will consider them weak, or not up to the job, if they find the actions of others intimidating.

They may be accused of 'overreacting' and worry that they won't be believed if they do report incidents. People being bullied or harassed may sometimes appear to overreact to something that seems relatively trivial, but which may be the 'last straw' following a series of incidents. There is often fear of retribution if they do make a complaint. Colleagues may be reluctant to come forward as witnesses, as they too may fear the consequences for themselves.

Bullying and Harassment may be an isolated occurrence or repetitive, it may occur against one or more individuals. It may be but is not limited to:

- **Physical contact** – ranging from touching to serious assault, gestures, intimidation and aggressive behaviour
- **Verbal** – unwelcome remarks, suggestions and propositions, malicious gossip, jokes and banter, offensive language
- **Non-verbal** – offensive literature or pictures, graffiti and computer imagery, isolation or non-cooperation and exclusions or isolation from workplace social activities, copying memos that are critical about someone to others who do not need to know and undermining behaviour.

Bullying may also be a combination of all three such as ridiculing or demeaning someone, picking on them or setting them up to fail, overbearing supervision or other misuse of power or position.

Further examples of unacceptable behaviours that can be considered to constitute bullying and harassment are found in Appendix 1.

Bullying and harassment is not necessarily face to face, it may occur through written communications, visual images (for example pictures of a sexual nature or embarrassing photographs of colleagues), email or phone.

For the purposes of this Policy, 'alleged perpetrator' refers to any person who is alleged to have bullied or harassed another.

#### **8.4 Discrimination**

There are several types of discrimination, defined under the Equality Act 2010 as:

- **Direct Discrimination** - less favourable treatment because of a protected characteristic (age, disability, gender reassignment, marital status, race, religion or belief, sex, sexual orientation or pregnancy and maternity)
- **Indirect Discrimination** - when there is a policy or decision that applies in the same way for everybody but disadvantages a group of people who share a protected characteristic, and you are disadvantaged as part of this group and there is not a good reason for applying the policy despite the level of disadvantage to people with the protected characteristic.
- **Harassment** - unwanted or offensive behaviour related to a protected characteristic
- **Victimisation** - negative treatment as a result of being involved with a discrimination or harassment complaint

Further information about different types of discrimination is available via the Advisory, Conciliation and Arbitration Service's (Acas) website

<https://www.acas.org.uk/discrimination-and-the-law>

#### **8.5 Cyber Bullying**

Cyber-bullying can be defined as, "Bullying, harassment and victimisation conducted through social media such as blogs or social networking." Examples of cyber-bullying include:

- Posting offensive or threatening comments directed at a member of staff, others involved in the business of the Combined Authority or members of the public
- Posting inappropriate photographs, or the posting of sensitive personal information of or about a member of staff, others involved in the business of the Combined Authority or a member of the public
- Pressuring staff, others involved in the business of the Combined Authority or members of the public to join online groups

Cyber bullying in the workplace can extend to your personal social media accounts when information is shared publicly.

## 9 Procedure

The Combined Authority is committed to achieving informal resolution of complaints relating to bullying and harassment wherever possible. In line with this approach, a series of options have been put into place to enable staff to be supported. This support will be provided to complainants, alleged perpetrators and any witnesses.

- **Occupational health service** - Any member of staff who is involved in an allegation of bullying and harassment may find it helpful to talk to the occupational health service. All employees have a right to self-refer to occupational health.
- **Counselling** - Counselling services are confidential and can be accessed through the Occupational Health Service. All employees can access the counselling service.

Occupational Health details: TBC

- **Trade Unions** - The Combined Authority recognises the important role trade unions and staff organisations play in addressing bullying and harassment and members are encouraged to seek advice from these representatives regarding their concerns. The Combined Authority will work in conjunction with the trade unions and staff organisations in addressing unacceptable and inappropriate behaviours.

The following sections set out the procedures for raising concerns.

### 9.1 Informal Resolution

Every consideration should be given to achieving an informal resolution. Informal methods are often the quickest and most effective in dealing with unacceptable behaviour. Very often people are not aware that their behaviour is unwelcome or misunderstood and an informal discussion can lead to a greater understanding that the behaviour will cease.

If you feel able you should try to resolve the problem informally by making it clear to the alleged harasser that their actions are unwanted and should not be repeated.

Where possible it is always encouraged that you speak to the alleged harasser directly as this is the most effective way of resolving issues informally. It may be helpful for you to write your concerns down as a personal note to aid you in delivering the message and ensuring you cover all of the relevant points. If you do not feel able to raise your concerns with the person directly, you could write to them stating how you feel, state where and when the incident(s) occurred and how you wish to be treated. Following this, if you feel able to, it is again encouraged that an informal conversation is had between yourself and the alleged harasser. You are encouraged to seek advice from your line manager or senior colleague from another team, or from your trade union representative, or from an HR representative when raising your concerns in writing. A note of the action taken should be kept.

If you feel unable to approach the alleged harasser, you could speak to your line manager (if appropriate), a senior colleague, an HR representative, a trade union representative or occupational health. It is important to remember that the Combined Authority has a responsibility to deal with any concerns raised, bullying and harassment are not only unacceptable on moral grounds but may, if unchecked or badly handled, create serious problems for the organisation.

Informal resolutions may include facilitated conversations with an internal objective facilitator or mediation from an external provider. An individual who is made aware that their behaviour is unacceptable should:

- Listen carefully to the complaints and the particular concerns raised
- Respect the other person's point of view
- Agree the aspects of their behaviour that they will change
- Review their general conduct/behaviour at work and with colleagues

## **9.2 Formal Resolution**

Should the alleged bullying or harassment continue after attempts at the informal resolution stage, and the complainant feels unable to deal with the matter informally, or the allegation is so serious as to prevent use of the informal procedure, a complaint should then be raised formally. This should initially be raised with your line manager, or if you feel unable to do so then you should discuss the complaint with a more senior manager or an HR representative. Ask for advice from your line manager, a senior colleague, trade union representative or HR representative about raising a formal complaint.

### **9.2.1 Initial Triage**

An initial assessment of the allegations raised will be considered by the line manager (or other senior manager where appropriate), together with an HR representative. They will determine the most appropriate route for the complaint to be further considered. It is acknowledged that any alleged bullying and harassment is a concern for that individual, however, to enable Human Resources to determine the most appropriate route for the complaint to be dealt with, careful consideration to the allegation(s) and their content will be made with reference to the definitions of bullying and harassment set out in this Policy. Options available include:

- Referral back for further informal resolution
- Formal Resolution – Route 1 (Grievance Investigation)
- Formal Resolution – Route 2 (Disciplinary Investigation)

Whilst it is not necessary to complete a formal bullying and harassment form, the following provides a useful guide to ensure sufficient and relevant details are provided and will help to ensure the most appropriate route for dealing with the formal complaint is followed.

It is very important that as much detail as possible is included, but as a minimum this should include:

- Clear, specific allegations against the named person(s):
  - Where possible, dates, times and witnesses to allegations

- Any relevant documentary evidence
- Examples of incidents that have occurred:
- Details of any informal action taken to address the issue, and by whom:
  - Include dates of meetings and outcomes
  - Details of those involved.
- The resolution the complainant is seeking.

Where there is insufficient detail provided to reach a recommendation, Human Resources will contact the employee concerned and / or their trade union representative, where identified, to obtain additional relevant factual information or further clarification.

### **9.2.2 Formal Resolution – Route 1 (Grievance Investigation)**

This process will be considered where mediation, restorative practice or other suitable interventions could be explored to aid resolution and where through working together with the relevant parties a resolution to the matters raised may be reached.

### **9.2.3 Formal Resolution – Route 2 (Bullying and Harassment / Disciplinary Investigation)**

A disciplinary investigation will be conducted where the allegations appear at the initial triage stage to meet one or more of the definitions of bullying and harassment as defined in this Policy, or the allegations of bullying and harassment appear to relate to a protected characteristic. Any action arising from the disciplinary investigation will be in accordance with the Combined Authority's Disciplinary Policy (for further detail on process please refer to the Combined Authority's Disciplinary Policy).

Employees may be accompanied by a work colleague not otherwise involved in the case, or a trade union or staff organisation representative at all formal stages of the procedure.

If the allegations and the working situation warrant it, the alleged harasser may be suspended during the formal resolution stage or transferred temporarily pending the outcome of the inquiry to another business area. The decision to suspend the alleged perpetrator can be made at any point throughout the process and a recommendation to suspend by the investigating officer and HR representative to either the Chief Executive Officer (Head of Paid Service) or the Strategic Director of HR and OD.

The investigating officer and HR representative will propose a time frame within which the investigation could reasonably be expected to be completed. However, given the complexities of some issues, this may not always be achievable. In such circumstances, all parties will be kept regularly informed of progress.

## **10 Protection for those making a complaint or assisting with an investigation**

Employees who make complaints or who participate in any investigation conducted under this policy in good faith will be protected from any form of intimidation or victimisation as a result of their involvement.

Any employee who considers that they have been subjected to any such intimidation or victimisation should seek support from their Line Manager, Human Resources or trade union representative. They may alternatively or additionally raise a complaint in writing under this Policy.

With any allegation, the need for a thorough and objective investigation is paramount. Consequently, if through the course of the investigation evidence supports that the allegation has been made maliciously then the individual making the complaint may be subject to disciplinary proceedings.

## **11 Record Keeping**

A record should be kept of the incident following resolution of both formal and informal bullying and harassment complaints. Where an allegation of bullying or harassment was upheld, it is important to check that this has stopped and that there has been no subsequent victimisation. Monitoring will be carried out on a regular basis with both parties.

## **12 Confidentiality**

All employees involved with the investigation and any subsequent process are required to respect the need for confidentiality.

All complaints, associated correspondence and interviews will be treated in strict confidence. Breaches in confidentiality may be subject to disciplinary action. However, it must be remembered that legislation requires the accused to be made aware of the allegations against them and the names of those making the allegations and the name of any witnesses. Alleged victims and witnesses will be protected from victimisation as per Section 10 of this Policy.

## **13 Appeal**

Should the matter not be resolved to the employee's satisfaction, they may appeal the decision to the Chief Executive (Head of Paid Service). The appeal must be addressed to the Chief Executive (Head of Paid Service), with a copy to the HR Team. The appeal must be lodged within 10 working days of the date of receipt of the letter setting out the original decision.

An appeal can be made on any of the following points:

- The person investigating the case at any stage misinterpreted some material fact
- The correct procedure was not followed
- New information has come to light that has a material effect on the case

- The decision was biased or unfair

Should the reason be because new information has come to light, the investigating officer will first be asked to consider whether this would have altered the decision made. If so, then a revised letter will be sent to the employee, and they will be asked if they wish to continue with their appeal.

The Chief Executive (Head of Paid Service) or nominated representative shall consider the grounds for the appeal within 15 working days, reviewing the evidence presented and undertaking any further action deemed necessary.

Should an appeal panel be established, it will comprise a Member of the Executive Board, a Combined Authority Director and HR Representative. No member of the panel shall have been previously involved in the case.

An Appeal Hearing should normally be convened within 10 working days of the decision to do so. If there is any delay the employee and their representative (where applicable) will be advised of the reasons for this. The findings of the Hearing will be confirmed in writing within 5 working days of the meeting taking place and the conclusions reached will be final and will represent the decision of the Combined Authority.

NB If allegations are made against the Chief Executive (Head of Paid Service), this will be considered by the Independent Person (Standards).

## **14 Impact Analysis**

### **14.1 Equality**

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

## **APPENDIX A**

### **EXAMPLES OF UNACCEPTABLE BEHAVIOURS WHICH MAY CONSTITUTE BULLYING AND HARASSMENT**

- Unwelcome sexual advances
- Bullying by exclusion - this may take the form of social isolation and/or exclusion from meetings
- The deliberate withholding of information with the intention of affecting a colleague's performance
- Unfair treatment
- Unfair and destructive criticism
- Overbearing supervision or other misuse of power or position
- Making threats or comments about job security without foundation
- Intimidating behaviour
- Verbal abuse and spreading of unfounded rumours
- Humiliation or ridicule, picking on someone or setting them up to fail
- Setting of unrealistic targets which are unreasonable and/or changed with limited notice or consultation
- Deliberately undermining a competent worker by overloading and constant criticism
- Preventing individuals progressing by intentionally blocking promotion or training opportunities
- Copying information that is critical about someone to others who do not need to know
- Victimising someone who has made, or supported a colleague to make, a complaint of bullying and harassment

Please note this list is not exhaustive.

## APPENDIX B

### WHAT IS OR IS NOT BULLYING AND HARASSMENT

Sometimes behaviours and actions which cause us to feel distressed are not examples of bullying, even though they are unpleasant and often require action by an employer or manager. There are some common situations that can be confused with bullying or harassment.

#### The difference between fair, firm management and bullying or harassment

The differences between a manager who is firm and fair and a manager who is bullying and harassing staff can sometimes seem ambiguous. The table below offers examples of the types of behaviour which distinguish both styles:

Firm and Fair Management	Bullying and Harassment of Staff
Consistent and fair	Aggressive, inconsistent and unfair
Determined to achieve the best results but is reasonable and flexible	Determined to achieve the best results but is unreasonable and inflexible
Knows their own mind and is clear about their own ideas, but is willing to consult with colleagues and staff before drawing up proposals	Believes they are always right, has fixed opinions, believes they know best and not prepared to value other people's opinions
Insists on high standards of service in quality of work and behaviour in the team	Insists on high standards of service and behaviour, but blames others if things go wrong
Will discuss in private any perceived deterioration before forming views or taking action and does not apportion blame to others when things go wrong	Loses temper, degrades people in front of others, threatens official warnings without listening to any explanation
Asks for people's views, listens and assimilates feedback	Tells people what is happening, does not listen
Shares credit appropriately	Plagiarises, takes credit for other people's work or ideas
Respectful and considerate	Disrespectful and inconsiderate
Demonstrably values others and their contributions	Devalues or ignores the contribution of others

# ANNUAL LEAVE POLICY

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The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

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New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	22/10/2025	N/A

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## 1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes adopting and maintaining a comprehensive suite of staff and human resource policies.

## 2 Purpose and Scope

This Annual Leave Policy sets out the annual leave provisions for the Combined Authority and outlines the discretionary options available to employees regarding annual leave. The Policy ensures a uniform and equitable approach to the calculation of annual leave and general public holiday entitlements.

Other discretionary forms of leave are available and may be granted by the appropriate manager, in accordance with the Other Leave Policy.

This policy applies to all employees who are employed by the Combined Authority. This includes employees on temporary contracts and fixed term contracts. Staff who are seconded from other employing organisations are not within the scope of this policy, nor are contractors. Agency Workers who meet the 12-week qualifying period will receive the same entitlement to annual leave as an employee and should request annual leave in the same way (in line with regulations 6 and 7 of the Agency Worker Regulations 2011).

Members of the Combined Authority are not entitled to annual leave.

## 3 Roles and Responsibilities

### 3.1 Line Manager's Responsibilities

Every Combined Authority line manager has a duty to:

- Make accurate annual leave calculations and ensure this policy is adhered to
- Record, monitor and authorise the annual leave of their employees and ensure that should an employee transfer to another department or leave the organisation the correct amount of annual leave has been taken
- Recalculate annual leave and Bank Holiday entitlements where an employee either increases or decrease their contractual hours and to ensure this information is communicated to the employee concerned
- Ensure that employee's annual leave entitlement remains consistent with their reckonable service and any local collective agreement which may be agreed from time to time
- Consider all leave requests fairly, taking into consideration an employee's entitlement and the Combined Authority's needs
- Ensure relevant cover, as required, during the requested annual leave period
- Encourage employees to take annual leave to which they are entitled and endeavour to ensure that their workload does not prevent this

### **3.2 Employee's Responsibilities**

All employees of the Combined Authority have a duty to:

- Ensure annual leave is taken in accordance with the processes outlined in this policy.
- Request annual leave in a timely manner giving adequate notice
- Ensure that as far as possible, they plan to take the whole of their annual leave entitlement within the year that it is due. Failure to do this could result in the loss of entitlement
- Discuss annual leave plans with their team colleagues to co-ordinate holidays and cover arrangements
- Ensure they have their annual leave approved by their manager prior to making any holiday bookings
- Be aware that leave taken in excess of their entitlement may be investigated in accordance with relevant policies and processes
- Communicate to their line manager when they are due an increase in their annual leave entitlement, in accordance with their reckonable service or any local collective agreement which may be agreed from time to time (approval for such increase may require confirmation via review of their contract of employment)

Both employees and line managers have a responsibility to read and understand this policy. Any breaches of this policy may be investigated and may result in the matter being considered as a disciplinary matter under the Combined Authority's Disciplinary Procedure.

### **3.3 Annual Leave Period**

The Combined Authority's annual leave period shall run from 1st April to 31st March, with the annual leave entitlement resetting on 1<sup>st</sup> April of each year.

Annual leave will be taken by mutual agreement between employees and the line manager who has the authority to grant their annual leave (authority will not be unreasonably withheld), except in services where there may be an agreement that holidays may be taken during particular periods. All employees should be given the facility to take annual leave during the summer period, wherever possible.

Authority will not be unreasonably withheld for a maximum continuous leave period of up to two weeks. Requests for longer continuous leave can be requested in exceptional circumstances, such as significant anniversary or family events. Such requests will be considered by the Chief Executive (Head of Paid Service) or Strategic Director of HR & OD.

### **3.4 Request for Leave**

All leave requests must be submitted in advance and in writing by employees and should be presented with sufficient time for the line manager to reasonably consider the request. Approval shall be recorded in writing and an accurate annual leave form maintained.

### **3.5 Annual Leave Entitlement**

#### **3.5.1 Entitlement for Annual Leave**

The entitlement to annual leave for the Combined Authority is as follows:

Threshold	Days per Annual Leave Period
Initial days per annual leave period (wte)	28
Upon reaching 5 years' continuous service* (wte)	30
Upon reaching 10 years' continuous service * (wte)	33

\* Continuous service includes service with one or more of the employers covered by the Redundancy Payments (Continuity of Employment in Local Government, etc.) (Modification) Order 1999, as amended.

In line with common local government practice, the Combined Authority may seek to enter into a local collective agreement regarding annual leave in due course.

### 3.5.2 Public and Extra Statutory Holidays

There are 8 English public holidays per annum, as follows:

New Year's Day	Good Friday	Easter Monday	May Day
Late Spring (May)	Late Summer (August)		
Christmas Day	Boxing Day		

In addition to the 8 statutory and general national holidays, employees are entitled to 2 extra statutory days. The timing of these extra statutory holidays is to be determined by the Combined Authority after consultation.

It is agreed that the additional days will be taken at the late spring and late summer public holidays, on the Tuesday and that this will apply until either the Combined Authority propose a change.

In addition, a concessionary day's holiday to be taken during the Christmas period each year. This will be the Friday following Christmas Day, except for when Christmas Day or Boxing Day falls on a Friday, when it will be the following Thursday or Friday respectively.

### 3.5.3 Leave Calculation for New Employees

New employees of the Combined Authority shall be entitled to annual leave proportionate to the completed months of service during the leave year of entry, that is 1/12th of full entitlement for each completed month of service and thereafter on a normal scale (e.g. commenced 10th June: leave entitlement for that leave year is 9/12ths of total annual entitlement – July to March inclusive). Fractions of a day must be rounded up to the next full day.

### 3.5.4 Long Service Leave Calculation

Employees with 5 years' continuous service will be granted additional long service leave.

The additional long service leave will be granted on reaching 5 years' continuous service. In that annual leave year, the additional leave will be based on the proportion of the leave year outstanding. The additional leave will be based on complete months of service and will be

expressed in whole days, all fractions of days to be rounded up to the nearest whole number. The following is an example of the calculation to be used.

- **Example long service additional leave**

Appointment on 12<sup>th</sup> November. 5 years' continuous service completed. Employee entitlement changes from 28 to 30 days i.e. an additional 2 days' leave. 4 complete months following date of anniversary of appointment to end of leave year.

- **Example for in-year anniversary year additional leave calculation**

$$\frac{4 \text{ (complete months)} \times 2 \text{ (additional days)}}{12 \text{ (months in year)}} = 0.67$$

**Total additional annual leave granted for the anniversary year**  
**= 1 day** (rounded up to the nearest whole number)

Employees with 10 years' continuous service will be granted an additional 3 days' long service leave in accordance with this policy. These should be added to the above for in-year anniversary calculations.

### **3.6 Leave Carried Forward**

Employees are expected to use all their annual leave during the leave year. In exceptional circumstances, up to 5 days annual leave entitlement (pro rata for part-time employees) may be carried forward into the next annual leave year with the authorisation of their line manager.

In exceptional circumstances, employees may draw up to 5 day's annual leave from the subsequent year's entitlement for an extraordinary reason, (e.g. visiting relatives abroad) may do so, up to a maximum of 5 days, with the approval of their line manager.

Prospective parents and adoptive parents should refer to the Other Leave Policy which outlines annual leave arrangements to support new families.

Where a worker has not had the opportunity to take the full entitlement to annual leave owing to certified sickness absence, any remaining entitlement will be carried forward to the next or subsequent leave years (in accordance with current legal case law).

### **3.7 Sickness During Public Holidays or Annual Leave**

Any employee who falls sick during the course of annual leave must notify their line manager immediately, in accordance with the sickness reporting procedure. An employee will be regarded as being on sick leave from the date of the notification to their line manager and further annual leave will be suspended from that date. Following their return to work, the employee must then take the balance of holiday entitlement before the end of the annual leave period.

Self-certification can be made for the first 7 days' sickness absence, following which a doctor's medical certificate must be submitted.

### 3.8 Part-Time Employees

The provisions regarding annual leave and public and extra statutory holidays apply equally to part-time employees under the terms of the relevant National Agreements. The underlying principle is that annual leave entitlements are consistent with those of full-time employees of the Combined Authority but applied on a case-by-case pro-rata basis.

Part-time employees have an equal entitlement to public and extra statutory holidays as full-time employees, whether or not they would normally work on days on which public and extra statutory holidays fall, applied on a pro-rata basis which is proportionate to the full-time standard working week.

Annual leave may be expressed in hours over the leave year or the purpose of calculating part-time employees annual leave entitlement.

Where a part-time employee's circumstances change during the leave year (such as through promotion), changes to annual leave entitlement must first be calculated as for an equivalent full-time employee - with the leave entitlement rounded up or down as required, in accordance with the policy. The updated figure is then applied pro-rata to the number of hours worked and finally at that stage expressed in hours, if required.

The formula for calculating a part-time employee's holiday entitlement (in hours) for public or extra statutory holidays on which they are employed is as follows (the example is based on a standard working week of 37 hours).

$$\frac{\text{Hours per Week} \times 7.4}{37} \quad (\text{Average daily working hours}) \quad \times \quad \frac{\text{Number of weeks employed per annum}}{52}$$

Part-time employees who regularly work less than 5 days a week and/or do not work the same number of hours each day of the working week will have their annual leave entitlement calculated in hours using the following formula:

$$\frac{\text{Annual Leave Entitlement (days)}}{5} \quad \times \quad \text{Average weekly working hours}^*$$

(\* Average weekly working hours should be calculated over a representative period of 12 weeks)

### **3.9 Accrued Leave When Leaving the Employment with the Combined Authority**

Where an employee leaves the employment of the Combined Authority without being able to take all leave to which they are entitled to at the date of leaving, they may receive payment at the rate of 1/365<sup>th</sup> of the annual salary for each day of outstanding leave, subject to the provisions set out below.

The National Joint Council recommends payment in lieu in circumstances where an employee has been unable to take their annual leave owing to long term sickness absence up to the date of leaving, where an employer requires an employee to work up to their leaving date due to the exigencies of the service or in redundancy situations.

Where an employee leaves Combined Authority employment through resignation or dismissal for reasons other than ill health (e.g. conduct, capability) they should, where possible, be required to take any outstanding leave during the notice period.

The calculation of the employee's entitlement at the date of leaving should be proportionate to completed months of service during the leave year up to the date of leaving (i.e. 1/12<sup>th</sup> of full entitlement for each completed month of service) plus any leave carried forward under Section 3.6 of this Policy). Fractions of a day must be rounded up to whichever is the nearer of the next half or the next full day.

Where an employee starts and finishes with the Combined Authority within the same leave year, their leave entitlement will be calculated in actual completed months of service (not in calendar months). For example – an employee who started 12<sup>th</sup> May and departed 20<sup>th</sup> August is entitled to annual leave based on 3 months' service. Again fractions of a day must be rounded up to whichever is the nearer of the next half or the next full day.

### **3.10 Annual Leave in Excess of Entitlement**

Were an employee leaves the Combined Authority having taken annual leave in excess of the proportionate entitlement determined by completed length of service, the relevant director will determine whether recovery of pay will be sought, in exceptional circumstances, following discussion with the Section 73 Officer or Chief Executive (Head of Paid Service).

### **3.11 Retirement on Ill Health Grounds**

An employee retiring early on grounds of ill health, other than summary dismissal directly following sickness absence, will receive pay equivalent to the pro-rata leave entitlement for the current leave year, or outstanding leave accrued from the previous leave year, up to a maximum of 5 days.

## **4 Impact Assessments**

### **4.1 Equality**

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

## OTHER LEAVE POLICY

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1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	28/11/2025	N/A

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## 1 Introduction

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to supporting colleagues in balancing the demands of domestic and work responsibilities at times of urgent and unforeseen need through the provision of paid and unpaid leave, subject to the requirements of the Combined Authority.

In doing so, the Combined Authority has adopted the following key principles:

- All employees, regardless of their length of service, may be granted "other leave" to support them in balancing any urgent and unforeseen personal responsibilities with work.
- The authorised period of paid absence will depend on the individual circumstances, but line managers and employees should refer to the relevant sections of this policy for further guidance.
- Entitlements are pro-rata for part-time employees and should be calculated in hours.
- Other leave allowance is based on a rolling 12-month period rather than an annual leave or calendar year.

All requests for other leave should be documented on the Other Leave Application Form (Appendix 1) and all such approvals should be recorded via any digital system maintained by the Combined Authority.

## 2 Purpose and Scope

This Other Leave Policy sets out guidance to managers and staff on the management of other leave requests in order to ensure a consistent and fair approach to applications and approvals.

Where relevant, leave described in this policy is consistent with statutory requirements under the Employment Relations Act 1999 and the Employment Act 2002. In consideration of other leave requests, line managers must be mindful that individual circumstances may vary and are encouraged to seek specialist Combined Authority HR advice where needed.

This policy applies to all direct employees of the Combined Authority, either permanently or through fixed-term arrangements. This includes employees on temporary contracts and fixed term contracts. Staff who are on honorary contracts or are seconded from other employing organisations are not within the scope of this policy, nor are contractors or agency workers.

Members of the Combined Authority are not entitled to other leave.

## 3 Definitions

A 'dependant' Is someone who relies upon another person for support. A dependent could be someone's spouse, partner, child, parent or any other individual who relies upon another person.

A 'relative' Is a person who is part of your family and can include: parents, parents-in-law, partners, adult children, adopted adult children, siblings (including those who

are in-laws), uncles, aunts, grandparents, grandchildren and step relatives in a particular emergency.

'Next of Kin'	Can include immediate family members such as spouses, partners, parents, children, and siblings. There are other legal contexts where 'next of kin' may extend beyond immediate family members.
A 'Carer'	Is an employee with significant caring responsibilities that have a substantial impact on their working lives e.g. the employee is responsible for the care and support of a disabled, elderly or sick child, parent, relative or friend who is unable to care for themselves
'Adverse Weather'	Can be defined as snow, ice, fog, floods, or any condition which render journeys by road extremely hazardous. This can be both public and private transport.
'Disability'	<p>An employee may be registered as disabled under the Equality Act 2010, if they have a physical or mental impairment that has a 'substantial' and 'long-term' negative effect on their ability to do normal daily activities. Within this context:</p> <p><b>'substantial'</b> is more than minor or trivial – e.g. it takes much longer than it usually would to complete a daily task like getting dressed.</p> <p><b>'Long term'</b> means 12 months or more.</p>

## 4 Roles and Responsibilities

All employees have a responsibility to read and understand this policy. Any breaches of this policy may be investigated and may result in the matter being treated as a disciplinary issue under the Combined Authority's disciplinary procedure.

### 4.1 Chief Executive (Head of Paid Service)

Has a responsibility for the overall accountability and responsibility for this policy, ensuring it is applied fairly, consistently and in a non-discriminatory manner.

### 4.2 Executive Directors

Executive Directors are responsible for ensuring that members of staff are aware of this policy and any relevant processes to be followed.

### 4.3 Line Managers

It is the line manager's responsibility to ensure:

- The fair and consistent application of this policy in a non-discriminatory manner.
- The timely authorising, recording and monitoring of other leave for their employees.
- The consideration of all other leave requests on an individual case-by-case basis, taking into consideration the employees' personal situation and the requirements of the Combined Authority.

#### **4.4 Employees**

All employees of the Combined Authority have a duty to ensure:

- That other leave is taken in accordance with the processes outlined in this policy.
- To request such leave in a timely manner where the requirement for time off is known in advance, and this must be agreed with the line manager.

#### **4.5 The Combined Authority Executive Board**

The Combined Authority's Executive Board is responsible for approving the Other Leave Policy.

### **5 Eligibility for Other Leave**

There is no qualifying period for employees to be entitled to other leave as defined in this policy. All employees, regardless of their length of service, may be granted other leave to support them to balance any urgent and unforeseen personal responsibilities with work or in promoting social wellbeing. The procedure provides a framework for line managers that enables staff members to request reasonable time off. Any other leave granted is always on the basis that it is subject to the operational needs and may require prior permission.

Where a request is foreseeable, the staff member should complete the Other Leave Application Form (appendix 2) and submit this to their line manager. The request should outline the reason for the leave (including any documentary evidence where requested), the reason and duration of the leave, giving no less than 10 working days' notice.

Where an other leave request is not foreseeable, the staff member must request permission from their line manager as soon as is reasonably possible, but always in advance of taking the leave. This would normally be communicated by telephone with an expectation that the individual must explain the circumstances and state how long they expect to be absent. The line manager will then decide whether the circumstances presented fall within the scope of the other leave policy or alternatively other types of leave. Alternatives could include:

- Annual leave
- Sickness absence,
- Flexible working arrangements

Line managers should seek specialist HR advice on any matters of uncertainty arising from the interpretation of this policy. If the other leave is approved, the line manager will sign the Other Leave Application Form (Appendix 1) authorising paid or unpaid leave. The line manager will also record the leave on any electronic system adopted by the Combined Authority for this purpose.

Line managers should be aware of employee's statutory rights with regards to specific types of other leave, including, but not limited to, time off for antenatal care, carers leave or parental bereavement leave. Further information in this regard is available later on in this policy.

Should a line manager not be able to approve an other leave request, they should discuss this with the staff member in the first instance giving an appropriate explanation for the decision. Should the employee feel that an application for other leave has been unreasonably declined, they should try to resolve this with their line manager in the first instance. Subsequently, they can discuss the matter with the line manager of the manager who dealt with the request or an Executive Director. Should the employee remain aggrieved following this process, they may seek to pursue the matter further with reference to the Combined Authority's Grievance Policy

## **5.1 Other Leave Entitlement**

### **5.1.1 Entitlement for Other Leave**

The authorised period of other leave absence will depend on the individual circumstances and line managers and employees should refer to the relevant sections below for guidance or seek specialist HR advice where necessary.

Line managers are required to monitor the categories of other leave and number of days being requested when making a decision on a request, on a case-by-case basis. They should also have due regard to the following:

- The needs of the individual concerned.
- The need to treat all employees in the Combined Authority equitably.
- The option to consider the utilisation of outstanding annual leave, unpaid leave and/or lieu days could be combined with other leave. (Should an employee have a large amount of annual leave remaining, particularly towards the end of the annual leave yearly cycle, then this should be discussed with the employee and taken into consideration by the line manager).
- The extent of similar requests previously.
- In the case of emergency leave, the extent of similar requests from the employee previously. This may indicate a need for additional help, such as support through the Occupational Health Service.

Specialist HR advice should be sought by line managers in the following circumstances:

- It is considered that employee returning from certain categories of other leave may need additional help and support to do so
- An employee indicates that they may not be fit to return to work following other leave
- Where the other leave requested exceeds the guidelines in this policy

### **5.1.2 Categories of Other Leave**

This policy sets out provisions for other leave in the following circumstances:

Category of Other Leave	Description
Compassionate Leave	Time off to support an employee with the death of a dependant, relative, or close friend.
Parental Bereavement Leave	For parents who have lost a child, a period of two weeks statutory parental bereavement leave is granted to help them come to terms with the death of their child.
Pregnancy Loss	Paid time off for those employees experiencing pregnancy loss
Emergency Domestic Leave	Short term leave, to deal with an emergency relating to a dependant.
Carers Leave	To support employees who balance work with caring responsibilities and deal with longer term problems (in addition to time off for emergencies) such as to look after someone for whom the employee has a caring responsibility.
Parental Leave	In line with maternity, adoption, maternity support (paternity) & shared parental leave good practice, parents can request a period of unpaid leave during the first 18 years of a child's life. The Combined Authority supports parent's unpaid leave during the first 25 years if the child is special educational needs and disability (SEND).
Fostering Support Leave	Paid time off will be given within the first year to accommodate the assessment, approval and training process for those employees who commit to becoming a foster carer.
Medical, Dental or Other Similar Appointments	Allows arrangements for employees to attend medical and dental appointments during a working day. Time off to support appointments for dependants should be taken by requesting annual leave or flexi time.
Neonatal Appointments	In line with the <a href="#">maternity</a> , adoption, maternity support (paternity) & shared parental leave good practice, pregnant employees have the right to paid time off for ante-natal care.

IVF or other fertility treatment	Allows arrangements to be made to attend medical appointments when undertaking/ pursuing IVF/ other fertility treatment.
Religious or cultural observance	When an employee seeks leave for a religious festival or cultural observance
Reserves, territorial army or cadet forces	Where there is a need for time off for activities and training or where an employee is 'called up' for military operations.
Public or civic duties	Where the employee is required to be absent for essential civic and public duties.
Attendance at court, witness or jury service	May be required to attend court for service as a juror, character witness or witness of fact.
Emergency services	Leave to support activities of retained Fire Fighters, Special constables, RNLi, Search and Rescue and similar activities
Career break or sabbatical scheme	Allows the employee to request unpaid leave from their employment on a temporary basis.
Time off for volunteering	The Combined Authority is committed to actively promoting volunteering amongst the local community for employees and teams and will signpost available opportunities for potential volunteers.
Adverse weather	Allows for alternative arrangements to be made when there is adverse weather, which may include working flexibly, or taking annual leave or unpaid leave.
Time off for study	For when employees are taking time from their duties to study or train in line with any Learning and Development Policy, as appropriate.
Employment interviews	To attend an internal/external interview
Unpaid leave	If leave arrangements as outlined in the specific sections of this policy are not sufficient to meet the employee's need and there is no annual leave outstanding, then employees may exceptionally be granted unpaid leave, subject to the needs of the Combined Authority

### **5.1.2.1 Compassionate Leave**

The purpose of compassionate leave is to help an employee come to terms with the death of a dependant, relative or close friend. It also covers time off to for attending funerals.

Examples of such relationships are, spouse or partner, immediate family (e.g., parent, daughter, son, sister, brother, grandparents, grandchild, civil partner, partner's immediate family) or any other dependent, who may have lived independently, but for whom the responsibilities surrounding bereavement rests on the employee (i.e., where the relationship necessitates handling funeral arrangements and/ or estate e.g., executor or only living relative of a distant relation).

Each request for compassionate leave should be viewed sympathetically, and the amount of leave granted will depend on the individual's circumstances, for example, relationship, domestic responsibilities and travel. Managers may grant up to 10 days paid leave (this should be pro-rata for part time staff).

The Combined Authority recognises that the loss of a close family member or friend may have a profound effect on the employee. Compassionate leave is intended for the employee to focus on the very personal event. There is no expectation that granting this short period of leave will be sufficient for the employee to recover from their loss.

Employee's may also request an additional 1 day paid leave to attend a funeral. This will be considered on an individual basis and agreed by the line manager depending on the circumstances.

### **5.1.2.2 Parental Bereavement Leave**

The purpose of parental bereavement leave is to allow working parents' time away from work to grieve the loss of their child of any age. A bereaved parent includes anyone who had responsibility as a primary carer for the child and includes adoptive parents, legal guardians, individuals fostering or any other parent/child relationship. This may include grandparents with a direct caring role for the child or someone other than the primary carer with caring responsibilities for the child.

Parental bereavement leave provides for 10 days bereavement leave on full pay. Where both bereaved parents work in the Combined Authority, the entitlement to parental bereavement leave will apply to both employees. A bereaved employee can choose whether to take parental bereavement leave and the leave can be taken in either a two-week block or two separate one-week blocks at any point up to 56 weeks after the death of their child. This is to allow time to be taken off for events such as birthdays or the anniversary of the child's death.

### **5.1.2.3 Pregnancy Loss**

Paid time off will be provided to support those employees' experiencing pregnancy loss. The person experiencing pregnancy loss, their partner and those who may have been expecting a child through surrogacy are offered up to 10 days paid leave (pro rata for part time staff). Paid time off will also be provided for attending appointments for both a person who has experienced pregnancy loss and partners of someone experiencing a loss if this extends

outside the timeframe specified above. This can include appointments for medical examinations, scans and tests and mental health related interventions.

#### **5.1.2.4 Emergency Domestic Leave**

All employees are entitled to request a reasonable amount of time off to deal with an emergency unplanned situation and make arrangements for any longer-term requirements.

The emergency domestic leave can be taken, for example, to exceptionally:

- Address a breakdown in childcare.
- Arrange longer term care for children or elderly relatives
- Provide support should a dependant fall seriously ill or is taken into hospital
- Respond to an incident that involves their child and occurs unexpectedly while the child is at school/ other education.

It may also deal with any unforeseen domestic emergencies including, for example:

- Flood
- Fire
- Burglary
- Safeguarding issues, including domestic violence

A line manager may grant up to one paid day (this should be pro-rata for part time staff) for emergency domestic leave. A further day can be agreed with the line manager in exceptional circumstances. However, the total number of days will not exceed more than 5 days in any rolling 12-month period.

The line manager may also give consideration as to whether it is possible for the employee to work from home or adopt short-term flexible working in such circumstances. Any such temporary change must be documented, together with the agreed timescale to return to normal arrangements.

Longer periods of absence to deal with the emergency should have due regard to carers leave, annual leave or unpaid leave, as appropriate.

#### **5.1.2.5 Carers Leave**

Carers leave is provided as an alternative form of leave to time off for emergencies (which is for short term/ emergencies only). An example of when carers leave could be considered is when an employee is required to look after someone who has a serious injury or illness, is terminally ill or has a disability.

In line with the Carers Leave Act 2023, the aim of carers leave is to make provisions for employees who balance work with caring responsibilities and provides a response to immediate, urgent or unforeseen needs connected to someone for whom the employee has a caring responsibility.

It applies to anyone caring for a spouse, civil partner, child, parent or other dependant who needs care because of a disability or long-term care needs. Carers leave is a statutory right for employees and specialist HR advice is available, on a case-by-case basis, as necessary.

Line managers may grant the employee up to 10 days paid leave based on a full-time employee (pro rata for part time employees) in a 12-month rolling period. Further unpaid leave may be granted, up to a combined period of 6 months in total, as appropriate.

#### 5.1.2.6 Maternity Leave

The Combined Authority offers maternity leave to eligible employees, consistent with the National Joint Council for Local Government Services (the Green Book), as follows:

- **Statutory Maternity Leave** – *Applicable to employees with less than one year of continuous local government service by the beginning of the 11<sup>th</sup> week of the expected week of childbirth.*
  - An entitlement to 52 weeks' maternity leave (of which 39 weeks are paid) - the first 6 weeks of this being paid at 90% of the employee's average weekly earnings (AWE) before tax and then 33 weeks of the current Statutory Maternity Pay rate per week or 90% of AWE (whichever is the lower).
  - Employees also continue to accrue annual leave and bank holidays throughout maternity leave.
  - Keeping in Touch (KIT) Days: Up to 10 paid days during maternity leave.
  - Flexible Return: Employees can request flexible working arrangements upon return.
  - Health & Safety: Paid time off for antenatal appointments and pregnancy-related risk assessments.
  
- **Enhanced Maternity Leave** – *Applicable to employees with at least one year of continuous reckonable service by the beginning of the 11<sup>th</sup> week before the expected week of childbirth.* Enhanced leave entitlement is as follows:
  - Total Leave of up to 52 weeks - 26 weeks Ordinary Maternity Leave plus 26 weeks of additional maternity leave
  - Enhanced pay structure
    - The first 6 weeks: 90% of normal pay.
    - Next 12 weeks: Full pay (offset by Statutory Maternity Pay).
    - Following 21 weeks: Statutory Maternity Pay (SMP) only.
  - Total Enhanced Pay: Up to 18 weeks of occupational maternity pay in addition to SMP. Repayment Clause: Employees may need to repay occupational maternity pay if they do not return to work for a minimum period (commonly 3 months).

#### 5.1.2.7 Paternity Leave

The Combined Authority Paternity Leave is available to employees who are the biological father or partner of the child's mother (or adopter) and have responsibility for the child's upbringing. They must also have more than 26 weeks' continuous service before the end of the 15<sup>th</sup> week before the expected week of childbirth.

Eligible employees are entitled to 1 or 2 consecutive weeks leave (cannot be split into separate days) and this must be taken within 56 days (8 weeks) of the child's birth or adoption placement. The pay rate is in accordance with Ordinary Statutory Paternity Pay (or 90% of average weekly earnings if lower).

### **5.1.2.8 Parental Leave**

In line with the maternity, adoption, maternity support (paternity) & shared parental leave best practice, working parents can request a period of unpaid parental leave during the first 18 years of a child's life. Employees who are eligible for parental leave can take up to 4 weeks' parental leave per year, per child.

Employees with at least 12 months continuous service who have a nominated caring responsibility for a child under the age of 18 can take up to 18 weeks unpaid parental leave per child up to their 18th birthday.

The Combined Authority offers parents unpaid leave during the first 25 years if the child is special educational needs and disability (SEND).

### **5.1.2.9 Fostering Support Leave**

The Combined Authority values the responsibilities which come with being a foster carer and endeavours to support foster carers and approved kinship carers by giving paid time off up to a maximum of 10 working days in any 12-month period for any of the following:

- Assessment and initial training prior to approval as a foster carer
- Attendance at panel for approval
- Long-term placement of a child/young person
- Child review meetings, annual foster carer review meeting and training

The employee's line manager will approve the leave on a discretionary basis taking into account individual circumstances of each case and operational requirements of the business. The leave will be considered and approved on a pro rata basis.

- 'A Foster Carer' is someone who takes on the role of a parent for an unspecified period of time. It could be a day, a week, a month, a year or until the child reaches the age of 18 when care orders lapse or when the care plan dictates.
- 'A Kinship Carer' is an approved person who is related to the child (through blood, marriage or civil partnership) or a person with whom the child has a pre-existing relationship. Kinship care is when a child lives full-time or most of the time with a relative or friend who isn't their parent.

### **5.1.2.10 Attendance at Medical, Dental or Other Similar Appointments**

Employees will from time to time need to attend medical, hospital, dental, optician or other similar appointments. Wherever it is possible to do so, employees (both full time and part time) should endeavour to be flexible and arrange such appointments in their own time or, if this is not possible, then at times that will cause the minimum amount of disruption or absence from work.

Where appointments can only be made during working hours, they should either be made at the beginning or end of the working day wherever possible. The employee must also show their appointment letter to their line manager as confirmation of an appointment when requesting time off to attend.

Where an employee has no alternative but to attend such appointments during working hours and dependent upon the circumstances, the line manager will work with the employee to agree a flexible agreement which supports the employee and the needs of the service. The line manager will use their discretion as to whether this time will be paid or taken as annual leave, unpaid leave or alternatively an employee will be able to make the time back through flexible working.

Should such appointments become more frequent, or the employee has a disability or long-term condition that requires attendance at regular appointments (i.e. regular physiotherapy/ attending on-going treatment) the individual should advise their Line Manager in advance of these appointments. The manager shall consider reasonable adjustments to accommodate the disability or long-term condition related requirements including flexible working hours or using a combination of paid time off, unpaid and annual leave to attend appointments.

Any Occupational Health appointments which an individual is requested to attend can be taken during working hours unless the employee is already absent from work. All Occupational Health appointments should be managed in accordance with the Attendance Management Policy. Should an employee be unable to return to work after such an appointment e.g. where they have attended a counselling session, the employee may make a request for paid leave, annual leave, unpaid or a request to work flexibly with their line manager.

Other appointments required in relation to matter concerning domestic distress, such as appointments with support agencies, arranging re-housing or meetings with solicitors, should be supported in the strictest confidence and as a high priority.

#### **5.1.2.11 Neonatal Appointments**

In line with the maternity, adoption, maternity support (paternity) & shared parental leave best practice, pregnant employees have the statutory right to paid time off for ante-natal care which may include relaxation and parent craft classes, provided the attendance has been recommended by a doctor/midwife. Reasonable paid time off to attend ante-natal classes/appointments may also be granted to partners.

#### **5.1.2.12 IVF or Other Fertility Treatment**

The Combined Authority recognises the emotional pressure of undergoing IVF treatment and wishes to support any employee during the process where possible. It will support employees undergoing IVF or other fertility treatment by providing employees reasonable paid time off to attend appointments relating to the treatment.

Leave requested for appointments will be managed in accordance with this policy up until the point of pregnancy when this will then be managed in accordance with maternity, adoption, maternity support (paternity) & shared parental leave best practice. The employee must notify their Line Manager to advise them of any on-going appointments that they will be required to take due to IVF or other fertility treatment.

### **5.1.2.13 Religious or Cultural Observance**

Where an employee seeks leave or a temporary change in their working hours for religious or cultural observance, employees will be entitled to request the following, subject to the needs of the service:

- Flexibility in arrangement of hours
- Annual leave
- Time off in lieu
- Unpaid leave

All line managers should be sympathetic to requests and should accommodate them wherever it is reasonably practicable to do so. When requesting time off or leave for a religious observance, employees should provide as much notice as possible to their line manager.

### **5.1.2.14 Reserves, Territorial Army or Cadet Force**

The Combined Authority recognises the valuable contribution that reservists, territorial army and Cadet Force Adult Volunteers (CFAV) make to the Armed Forces and their civilian workplace. The Combined Authority may employ staff who are in the Reserve Forces and who may be subject to call up and mobilisation. Such staff members may also require regular time off for training to maintain their skills and readiness for deployment.

The Reserve Forces comprise the Royal Naval Reserve (RNR), the Royal Marines Reserve (RMR), Army Reserve and the Reserve Air Forces (RAFR)). The Cadet Forces consist of adult volunteer instructors that provide training to Cadets within Sea Cadets, the Army Cadet Force, the Air Cadets and Combined Cadet Force. The training undertaken by reservists or CFAV enables them to develop skills and abilities that can be of benefit to them as employees, and to the employer in terms of service delivery.

The Combined Authority pledges support towards members of, or those wishing to join the Reserve Forces or Cadet Forces and acknowledges the training undertaken by reservists that enables them to develop the skills that benefit both the individual and employer. It is a requirement that employees advise their line manager as soon as possible of their intention to become a reservist. This requirement is to allow their department to deal with the practical implications.

Training commitments for reservists vary but typically include:

- Weekly training – around two and half hours for one evening a week at a local reserve centre.
- Weekend training – expected to attend a couple of training weekends spread throughout the year.
- Annual training – two-week continuous training camp that takes place each year, either in the UK or abroad.

The Combined Authority is committed to granting up to 10 days paid leave in a 12-month rolling period to enable reservists or CFAV to attend their annual camp or training commitments. Additional unpaid leave or annual leave from the employee's normal annual leave entitlement may be granted for short periods of training, provided adequate notice is given and where

such training cannot be undertaken in off-duty time. Reservist and CFAV employees are required to give as much notice as possible to allow appropriate planning for absences. This should include detail of all planned military training that will require absence from the workplace at the beginning of each year. Permission will be granted, where possible and in line with service needs. Once given, permission will not be rescinded except in exceptional and extreme circumstances.

Mobilisation is the process of calling reservists into full-time service. This can be with the Regular Forces on military operations or to fulfil their part of the UK's defence strategy or humanitarian operations. The Reserve Forces Act 1996 provides the legal basis for mobilisation. Mobilisation will normally be for between 3 and 12 months, depending on their role and specialism. For operational reasons the Ministry of Defence is unable to give the employer a precise return date. Subject to the severity of the crisis there would normally be a minimum of 28 days' notice of the date that a reservist will be required to report for mobilisation, although there is no statutory requirement for a warning period prior to mobilisation.

Should an employee be called up for military operations, the employee should present their papers from the Ministry of Defence to their line manager, outlining the date and possible duration of the employee's mobilisation. During this period of active service, unpaid leave will be granted. Employment will continue without pay unless specified otherwise by the employee, for example if the employee requests annual leave, the time taken as annual leave will be paid. Staff wishing to preserve pension rights should contact the Pension Department for clarification of their personal circumstances. Reservists have the right to return to their former posts on terms and conditions no less favourable than those that would have applied if they had not been 'called up'. To exercise the right to be reinstated, the reservist must write to the Combined Authority confirming their intention to return to work within a reasonable period. The continuity of a reservist's employment is not broken by the period of voluntary mobilisation if the employee is reinstated within their employment within 6 months of the demobilisation.

Line managers should be aware that employees returning from mobilisation may require therapeutic treatment and so reasonable time off should be given to support employees. Line managers are encouraged to offer the services of the Occupational Service to enable employees to access counselling and other additional support. Line managers should seek specialist HR advice as necessary.

The Combined Authority is also committed to supporting military spouses and partners as follows:

- Where an employee is a military spouse or partner of regular Armed Forces personnel, requests for leave or flexible working to enable the military spouse or partner to handle family issues whilst the regular service person is deployed away on operations or exercises will be considered favourably.
- Leave requests to allow service spouses / partners to spend time with a regular Armed Forces personnel once they return from an operational 14 deployment, including periods of rest and recuperation (RnR) will be considered favourably.

- Short notice changes of leave plans to accommodate changes in deployments dates for the regular service person will be considered favourably.
- Where a military spouse or partner is an employee of the Combined Authority and, as a result of a requirement to relocate due to links to military service, the Combined Authority will support them in seeking employment in the new location where they are suitable to undertake a role; this may include offering protected time to apply for a role and unpaid leave to attend interviews etc

#### **5.1.2.15 Public or Civic Duties**

The Combined Authority shall allow reasonable unpaid time off for staff required to be absent from work for essential civic and public duties of the kinds listed in [section 50 of the Employment Rights Act 1996](#) and as required by other legislation. Any agreed paid time off will be at the discretion of the line manager and agreed locally.

Public duties apply to employees who, in an unpaid role are:

- A member of a local authority
- A Justice of the Peace or Magistrate
- A member of any statutory tribunal
- A member of, in England and Wales, a National Health Service Trust or organisation
- Members of, in England and Wales, the managing or governing body of an educational establishment maintained by a local education authority
- Members of the governing body of a grant-maintained school, further or higher education corporation or of a school board or board of management of a college of further education or self-governing school
- A member of, in England and Wales, the National Rivers Authority
- Members of a Board of Prison Visitors (England and Wales)
- Trade Union Duties

This list is not exhaustive, and other roles may be determined locally.

The Combined Authority will allow reasonable time off during the employees working hours for the following purposes:

- Attend meetings of the body or any of its committees or sub-committees
- To perform duties approved by the body to discharging its functions or those of any of its committees or sub-committees.

In deciding what is reasonable, the line manager will take into account the time required to perform these duties, the amount of time off which has already been taken and the effects of the absence on the needs of the Combined Authority. Employees are requested to inform their line manager in writing setting out the dates, times and frequency of meetings, visits and training commitments in advance.

#### **5.1.2.16 Attendance at Court, Witness or Jury Service**

This includes attendance at an Employment Tribunal or Fitness to Practice Hearing.

Employees may also be required to attend court for service as a juror, character witness or

witness of fact. The employee will continue to be paid while on jury service at the normal rate of pay.

In the event that an employee is called up for jury service they should provide their line manager with a copy of the court summons and any relevant documentation at the earliest opportunity in order to discuss cover for the period they will be required for jury service. If it is practicable for the individual to return to work at any point during the period of jury service, they should do so.

Where an employee is required to give evidence at court on behalf of the Combined Authority, paid leave will be granted for as long as required. In circumstances where an employee is called as a witness by another organisation, paid leave will be granted. The pay will then be reclaimed from the relevant organisation.

Unpaid leave will be granted for attendance at court as a witness in respect of matters arising from outside of work, i.e. personal matters. Individuals can claim for expenses occurred and loss of earning through the Courts. Please refer to the Crown Prosecution Service website for further information current rates and guidance on how to claim. [www.cps.gov.uk](http://www.cps.gov.uk)

#### **5.1.2.17 Emergency Services**

Other leave to support activities of retained Fire-fighters, Special Constables, RNLI, Mountain and Search and Rescue, Coastguard or similar activities and services undertaken at the request of the statutory emergency services.

Where possible, planned duties should be undertaken outside of the individual's normal working hours. Annual Leave may however be requested where activities impact in working time. If requests for an emergency response are possible or likely within normal working hours, a line manager may, at their discretion, agree arrangements that support the request and the needs of the service to allow an employee to make the time back through flexible working. In addition to annual leave, a provision of up to 5 days unpaid leave in any rolling 12-month period will be granted to carry out the duties required. Where undertaken in a voluntary capacity, planned activities (eg training courses) may also be supported through the policy on time off for volunteering

#### **5.1.2.18 Career Break or Sabbatical Scheme**

A career break allows the employee to leave their employment on a temporary unpaid basis for between three months up to two years. It can be used for various reasons including, travel, care of a relative or dependant or voluntary work. The purpose of the break is normally linked to personal development outside the usual confines of the job, allowing the employee to return to work with new ideas and enhanced skills which can benefit both the employee and the Combined Authority.

For statutory purposes, the period of the break will count towards continuous employment, however all other terms and conditions of employment will be suspended. The period of the career break will therefore not count as service when calculating contractual entitlement to benefits such as annual leave, sick pay, contractual redundancy payments and any other

benefits dependent upon length of service. There will be no entitlement to benefits, such as sick pay, during the period of the break.

To qualify for consideration for a Career Break, employees must:

- Have been employed by the Combined Authority continuously for a period of twelve months or more
- Have demonstrated a commitment to continuing their career with the Combined Authority, and
- Have the approval of their line manager or an appropriate authorising manager three months before the commencement of their break.

Subject to business needs, applications will normally be approved for the purpose of:

- Caring for a sick or dependent relative
- Caring for children
- Personal reasons e.g. following ill health
- Extended periods of travel or voluntary services
- Undertaking further education
- Any other reason will be considered on its merit

The length of the career break will normally be for a minimum of three months up to a maximum of two years. More than one career break may be granted in the course of employment, provided the combined length of the breaks does not exceed the maximum of five years.

### **Requesting a Career Break**

Employees wishing to apply for a career break must complete the application form at Appendix 2 and submit it to their line manager. Both the proposed commencement date and return to work date must be included. Applications must be submitted to the authorising manager, at least three months prior to commencement of the intended break. Requests made less than three months in advance will only be considered in exceptional circumstances.

Applicants will usually be notified in writing of the decision within 21 calendar days of the date of submission of their application.

### **Line Manager Considerations/ Role/ Responsibilities**

In deciding whether to support an applicant, the authorising manager should satisfy themselves that the individual has a clear commitment to continuing a career with the Combined Authority upon their return, and that the reasons for requesting the break are valid.

They must also ensure that approving the request will not cause detriment to the Combined Authority and therefore will also need to be considered by an executive director prior to approval. Specialist HR advice should also be sought in all such cases.

The line manager will notify the employee in writing of the decision usually within 21 calendar days of the date of submission of their application. A copy must be sent to the Human

Resources Team by the manager. All records of applications and decisions will be kept on an employee's file and held centrally by the Human Resources Team.

Should organisational change occur, such as a significant restructure, whilst an employee is on a career break, line managers are to contact them using the contact details provided to the Combined Authority, so that communication about the change is received by them. Consultation relating to proposed changes affecting their employment will take place as appropriate and as soon as is reasonably possible in accordance with the relevant Combined Authority policies.

Where an employee returns to work within a year, their line manager will support their reintegration and return to the same post they held when the career break started, as far as is reasonably practicable. If this is not possible, due to restructuring etc., or if the break has been for longer than a year, then every effort will be made to find the employee a post with similar duties and responsibilities to those of the previous post held. If it is not possible to find a suitable similar position then redundancy may be considered. Line Managers are to seek specialist HR advice in managing such processes in accordance with the relevant Combined Authority policies.

Where an employee fails to return, reasonable attempts are to be made to communicate with them in order to agree an end date, through written communication to their most recent address. Where these attempts have proved to be unsuccessful, the line manager will regard this as unauthorised absence and refer to the disciplinary policy.

### **Request Approved**

All accrued annual leave must be taken before commencement of the career break. No payment in lieu of outstanding leave will be made, neither will any "carry over" of leave be allowed. There is no entitlement to annual leave during the career break. On return to work, entitlement to annual leave would be the same as when the break started, and the period of the career break will not count as reckonable service for leave purposes.

If an employee wishes to continue their trade union membership during the break, they will need to review how their payments are made, to ensure payments are continued as required. Employees commencing a career break immediately following a period of maternity leave will be liable to repay any Occupational Maternity Pay received should they fail to return to work for a period of 3 months after the career break.

Employees will be expected to maintain contact with their line manager and inform them and/or the Combined Authority of any changes to personal circumstances, i.e. change of home address.

Employees on a career break will not normally be allowed to undertake any other paid employment with another employer during the career break except where, for example, work overseas or charitable work could broaden experience. In such circumstances written approval is to be sought prior to the start of the career break.

An employee is free to apply for other positions within the Combined Authority during a career break however it should be noted that should they be successful in their application continuation of the career break cannot be guaranteed as it will be subject to a further review of the needs of the Combined Authority. It is therefore advised that a discussion is held with the recruiting manager prior to an application being submitted.

### **Returning after a Career Break**

Employees will be required to give written notification of their return to work. Where the career break is for less than a year, two months' notice of return is required. For breaks of longer than a year, six months' notice of return is required. Employees wishing to return earlier than originally anticipated must give two months' notice in writing. Employees wishing to extend the length of their career break must apply in writing, at least two months before the agreed end, to enable appropriate consideration for the extension.

Where an employee returns to work within a year, they will return to the same post they held when the career break started, as far as is reasonably practicable. If this is not possible, due to restructuring etc., or if the break has been for longer than a year, then every effort will be made to find the employee a post with similar duties and responsibilities to those of the previous post held. If it is not possible to find a suitable similar position then redundancy may be considered. Employees may be required to undertake a period of training on their return to work. The content and duration will depend on the length of the break, the post and any changes in working practices, legislation or policy.

Failure to return from employment break on the agreed specified date without seeking a formal extension will be regarded as unauthorised absence and may lead to formal disciplinary proceedings.

#### **5.1.2.19 Time Off for Volunteering**

The section applies to employees of the Combined Authority wishing to carry out volunteering activities during their normal hours of work and which provides a benefit to the local community. It does not apply to Combined Authority employees who wish to obtain work experience placements. The Combined Authority is committed to actively promoting local volunteering among employees and teams and will signpost available opportunities for potential volunteers.

Line managers can agree for a maximum of five days per twelve months rolling period to undertake volunteering activities. Time-off for volunteering is subject to approval by the employee's line manager and adequate notice must be provided and an application made. Wherever possible, the paid time-off work taken for volunteering should be matched by the individual using their own time to volunteer.

#### **5.1.2.20 Adverse Weather**

It is the duty of each employee to make their own arrangements to get to work at the normal time. However, it is recognised at times that employees may experience severe difficulties in getting to and from work as a result of adverse weather and disruption to travel. Employees are expected to make reasonable attempts to attend work for services to be maintained even if this means they arrive late. If it is not possible for the employee to attend

work at their normal base, it should be considered whether there is an alternative base closer to home from where they can work from. In circumstances where working from home is considered as an alternative, the employee must make sure they have all the necessary equipment with them to enable them to work effectively. This should be discussed with their Line Manager in this instance.

Employees not able to attend work or unable to work from home or a separate base will, wherever possible, have the option of:

- Flexible Working (manager may agree revised working hours to enable the employee to fulfil their contracted hours)
- Annual leave
- Unpaid leave

In exceptional circumstances paid leave may be granted.

#### **5.1.2.21 Time Off for Study**

Employees may submit requests in relation to any type of study leave, training or activities related to professional registration that they believe will improve their effectiveness in their organisation and the performance of the business.

#### **5.1.2.22 Employment Interviews**

Paid leave will be granted with the Line Manager's approval to attend an internal interview within the Combined Authority, subject to the needs of the service. Paid leave will be granted to attend interviews external to the Combined Authority should the employee be under notice of redundancy or have been notified that they are 'at risk'. For any other interviews external to the IC Combined Authority, unpaid leave may be requested or annual leave can be used. Any requests for annual leave should be requested to the line manager in accordance with the Combined Authority's Annual Leave Policy.

#### **5.1.2.23 Unpaid Leave**

In circumstances where the various provisions in this Policy are judged insufficient to meet the employee's need and there is no annual leave outstanding, they may be granted unpaid leave, subject to the needs of the service. The period of the break still counts towards continuous employment for statutory purposes. Circumstances should be fully discussed and subject to service needs. Periods of unpaid leave may have an impact on their pension contributions or benefits and so an employee may wish to seek pensions advice in advance of the leave.

## **6 Implementation**

This policy will be available electronically and communicated to staff via team meetings. Support is available to all Line Managers in the implementation and application of this Policy.

## **7 Monitoring and Effectiveness**

The implementation of this policy will be monitored on an annual basis by a report to the executive team. Data will be analysed and, together with review of feedback from any staff engagement and insight work, used to identify trends and interventions needed to address any issues. The policy and procedure will be reviewed and audited periodically by the HR Team in conjunction with Trade Union representatives, as appropriate, and otherwise immediately in the case of legislative or every two years, whichever is the sooner.

## **8 Impact Assessments**

### **8.1 Equality**

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

### APPENDIX 1 – APPLICATION FOR OTHER LEAVE FORM

Please refer to the Other Leave Policy for full details of the eligibility, entitlement, application process and requirements for supporting documentation.

<b>Employee Name</b>	
<b>Job Title</b>	
<b>Type of Other Leave Requested</b>	
<b>Reason for request</b>	
<b>Number of days/ hours leave requested</b> (please include start and end dates if requesting unpaid leave/ Career Break)	
<b>Paid or Unpaid</b>	
<b>Employees Signature</b>	
<b>Date</b>	

#### To be completed by Line Manager

<b>Approved or Not Approved</b>	
<b>Manager Comments</b>	
<b>Manager Name</b>	
<b>Job Title</b>	
<b>Line Manager Signature</b>	
<b>Date</b>	

*Please ensure a copy of this form is retained by the line manager and employee for reference and a copy is shared with the specialist HR team.*

## **ABSENCE MANAGEMENT POLICY**

<b>Authorship:</b>	Strategic Director of HR & OD (Interim)
<b>Committee Approved:</b>	Executive Board
<b>Approved date:</b>	28/11/2025
<b>Equality Impact Assessment:</b>	11/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority Employees
<b>Policy Number:</b>	HEYAM 1
<b>Version Number:</b>	v1.1

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as ‘uncontrolled’ and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approving body</b>	<b>Approval date</b>	<b>Date published on website</b>
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	28/11/2025	N/A

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## **1 Introduction**

1.1 Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes establishing and maintaining a caring and supportive culture to the management of absence from the workplace which, in turn, facilitates good attendance at work and contributes to the delivery of the Combined Authority's business.

## **2 Purpose and Scope**

2.1 The Combined Authority is committed to providing appropriate support and assistance to employees who are ill, and it will take all reasonable steps to enable them to return to work as soon as possible. This Policy enables managers to support staff on sickness absence matters, both short and long-term, in a fair, consistent and equitable manner.

2.2 It is recognised that all cases must be dealt with on an individual basis and with due regard to the particular circumstances of each case. This Policy therefore sets out the broad principles of operation and does not seek to define every circumstance.

2.3 Matters relating to misconduct or capability are not within the scope of this Policy and should be considered via the Combined Authority' Disciplinary Policy and Capability Policy respectively.

2.4 This Policy applies to all employees of the Combined Authority, including employees on temporary contracts and fixed term contracts. Staff who are seconded from other employing organisations are not within the scope of this policy, nor are contractors – reference to their employing body policies should be made, as appropriate, in such circumstances.

## **3 Principles**

3.1 The following principles underpin the Combined Authority Absence Management Policy:

3.1.1 Regular and punctual attendance is implicit in employee contracts and individuals are responsible for achieving and maintaining good attendance or highlighting any matters which may affect their ability to do so in a timely manner with their Line Manager. All new staff must be made aware of the standards expected of them as part of their induction.

3.1.2 Due regard will be given to all relevant factors prior to considering action under the formal stages of this Policy. These could include absence relating to maternity, stress, disability or other work-related matters. Specialist HR advice should be sought at an early stage of the review process, as necessary, with consideration given to relevant aspects of the Combined Authority's Other Leave Policy, as appropriate.

- 3.1.3 When considering absence matters related to sickness, Line Managers must be mindful of the obligations that they and the Combined Authority may have under the Equality Act 2010. Advice should be sought from the specialist HR team, as appropriate
- 3.1.4 Early intervention can help solve or manage and maintain attendance and levels of motivation and Line Managers must ensure they hold timely and effective return to work meetings following every absence to encourage an open and honest dialogue with staff and create a supportive environment
- 3.1.5 Confidentiality will be maintained in all aspects of absence management and records will be kept in line with the data protection legislation.

## 4 Definitions

- 4.1 **Short-term Sickness Absence** - refers to either an isolated episode or a series of illnesses, often unconnected, which result in frequent but short periods of sickness absence.
- 4.2 **Long-term Sickness Absence** – refers to any medical condition or illness which results in more than three continuous weeks of sickness absence. It is recognised that circumstances can occur where an employee is absent from work on a long-term basis as a result of chronic or acute ill-health. Every such instance will be considered on a case-by-case basis in accordance with this Policy.
- 4.3 **Unauthorised Absence** – is where an employee person fails to notify sickness absence in accordance with this Policy, does not present for work or does not present for work on time. All efforts should be made to contact the individual in such circumstances. Where no reasonable mitigation is provided, the matter may be considered as a matter of misconduct in accordance with the Combined Authority's Disciplinary Procedure.
- 4.4 **Going Home Sick** – is where a person presents for work but is subsequently sent home or leaves early because they are too ill to be at work. Such instances will be marked as sick for the number of hours that they have not attended work for that day, and it will be classed as an episode of sickness absence.
- 4.5 **Disability Related Absence, Reasonable Adjustments and Disability Leave** - Where an employee has notified the Combined Authority that they are a disabled person in accordance with the definitions outlined in the Equalities Act 2010 (the Act), they are entitled to time off to attend to obtain medical treatment, assessment or rehabilitation for their registered condition. This will not be classified as sickness absence.

Combined Authority staff with a disability may receive up to 2 days (15 hours) of disability leave per year as a form of reasonable adjustment. This is a period of pre-approved, paid time off work for a reason related to their disability. Disability leave should never be used as a replacement for sick leave and should be used for short, planned appointments only.

Requests for disability leave should be related to appointments or periods of absence to help staff manage their disability such as the examples below, please note this is not a definitive or exhaustive list:

- Treatment related to an employee's disability
- Hearing aid tests or assessments for conditions such as dyslexia
- Counselling/therapeutic treatment or physiotherapy
- Blood tests for diabetes, cancer or other conditions and treatment or tests and recovery time.

Such leave will not be recorded as sick leave and should instead be recorded under the other leave provisions. Specialist HR should be sought at the earliest opportunity to determine whether Occupational Health support and guidance is necessary to determine as to whether an absence is as a result of a health condition that is likely to qualify as a disability under the Equality Act 2010. Line Managers and employees are also able to access additional external support services, as appropriate, through Access to Work, Job Centre Plus and MIND.

- 4.6 ***Sickness Absence during Annual Leave*** - is where an employee falls sick during the course of planned annual leave. In such instances, they must notify their line manager immediately and in accordance with the sickness absence reporting procedure. An employee will be regarded as being on sick leave from the date of the notification to their line manager and further annual leave will be suspended from that date until the date of their return to health. Following their return to work, the employee must then take the balance of holiday entitlement before the end of the annual leave period.
- 4.7 ***Maternity Related Absence*** – is absence from work due to pregnancy related sickness. Such episodes should be recorded separately and not counted towards absence triggers. However, these should continue to be monitored and a return-to-work meeting should still be held.
- 4.8 ***Cosmetic Medical Treatment and Procedures*** - is a procedure to enhance or alter a person's physical appearance for aesthetic reasons, not medical necessity. These treatments can be surgical or non-surgical and absence for cosmetic reasons alone must be taken as annual leave and not sick leave.

Where planned medical treatment has both a cosmetic and a health improvement purpose, absence should be reported as sick leave. Line Managers should seek specialist HR advice should there be any uncertainty regarding the basis of cosmetic treatment.

## **5 Roles and Responsibilities**

### **5.1 Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

### **5.2 Executive Directors and Other Directors**

Executive Directors and other directors have responsibility for embedding this policy and procedure within their respective areas, ensuring its implementation and enactment as soon as practicably possible when absences arise. This includes identifying or facilitating suitable capacity to support reviews with the member of staff in a timely manner.

### **5.3 Line Managers**

Every Combined Authority Line Manager has a duty to:

- Ensure that they are familiar with this Absence Management Policy and their obligations to follow it fairly and consistently
- Engage sensitively and in a timely manner when dealing with absence from work, balancing the needs of the employee with those of the Combined Authority
- Complete return to work meetings after all episodes of sickness absence
- Maintain accurate and up-to-date records of all absences, reasons for the absence and outcomes from reviews
- Seek specialist HR advice in a timely manner, where appropriate, and consider the option of a specialist Occupational Health referral
- Maintain confidentiality at all times
- Identify a 'nominated deputy' for staff to report sickness absence to during periods of annual leave/out of the office/non-working time and communicate this to their staff.

### **5.4 Employees**

All employees of the Combined Authority have a duty to:

- Ensure regular attendance at work
- Ensure they report any absences in a timely manner and in line with the reporting process set out in this Policy
- Engage fully in the application of this Policy, including through maintaining periodic communication with their manager when absent from work
- Attend Occupational Health when agreed or requested to do so as a contractual duty
- Attend meetings with their Line Manager for a return-to-work review following any sickness absence or as part of a planned return-to-work
- Co-operate with any measures that are agreed to help them to return to work at the earliest possible opportunity, such as reasonable adjustments or alternative duties
- Submit any GP fit notes or self-certification as required in line with this Policy.
- Inform their Line Manager of any third-party payment in relation to their sickness absence, such as compensation from a secondary employer or insurance company

Both employees and Line Managers have a responsibility to read and understand this policy. Any breaches of this policy may be investigated and may result in the matter being considered as a disciplinary matter under the Combined Authority's Disciplinary Policy.

### **5.5 Trade Unions**

Trade Union representatives, where recognised, may provide advice and support for individual staff who are subject to a sickness absence review or other formal stages of this Policy.

They also have a responsibility to ensure that the Absence Management Policy are used properly, fairly and consistently.

## **6 Absence Management – General Points**

- 6.1 The Combined Authority's Policy for managing absence must be followed by all employees. It is the responsibility of every employee to report any absence and only in exceptional cases should this be undertaken by someone else on their behalf.
- 6.2 An employee who is found to have knowingly given false information or made false statements about their sickness may be investigated in accordance with the Combined Authority's Disciplinary Policy. Such cases may be investigated as misconduct or gross misconduct. Proven cases of gross misconduct could lead to dismissal.
- 6.3 An employee who unreasonably fails to comply with the Combined Authority's Attendance Management Policy may have their occupational sick pay withheld. Any decision to withhold sick pay must be made only following specialist HR advice. Advice may also be sought from Occupational Health prior to a decision being made.
- 6.4 The Combined Authority reserves the right to dismiss employees whilst they are receiving sick pay entitlement. Any decision to dismiss on capability grounds will be subject to medical advice.
- 6.5 The Combined Authority reserves the right to request a Doctor's Certificate for periods of absence of less than seven calendar days in cases of short-term persistent absence. However, this should normally follow an Occupational Health referral where it is established that there is no medical reason for continued short-term persistent absence. Furthermore, this option should only be used for a finite period and should be reviewed on a regular basis. Finally, should the employee incur a cost in obtaining a Doctors Certificate, then this will be reimbursed by the Combined Authority.

## **7 Absence Management – Infectious and Contagious Diseases**

- 7.1 Staff are expected to demonstrate a duty of care towards others, including colleagues and visitors. Staff must therefore wait 48 hours following the last episode of diarrhoea and/ or vomiting before returning to work.

7.2 The Combined Authority will always endeavour to promptly apply and follow government advice or guidance relating to an illness/contagious disease and will ensure that a safe working environment is maintained in this regard.

## **8 Absence Management Procedures**

### **8.1 Absence Notification**

8.1.1 All employees must contact their line manager on the first day of absence as soon as is reasonably practicable and within one hour of their normal starting time. The employee must make this call and the only exception to this is where it is clearly not possible or reasonable for employees to ring personally, such as admission to hospital.

8.1.2 Employees must talk directly to their line manager. It is not acceptable to text, e-mail or leave messages with anybody else except in exceptional circumstances and this should only be an interim measure. This will enable an effective two-way dialogue to take place and to elicit the information required. Should the Line Manager be unavailable, then the employee should contact the alternative nominated manager, as confirmed by the Line Manager.

8.1.3 Alternative arrangements for reporting sickness must be agreed where an employee does not have access to a telephone. Next of kin may be contacted should an employee fail to attend work without having notified their manager of their absence

8.1.4 Employees must give the following information when reporting absence:

- the reason for the absence (if known)
- the expected length of absence (if known)
- whether a visit will be made to their GP, and if so, the date of the appointment

Where possible, the Line Manager should be advised of any outstanding work that may require urgent attention during the period of absence in order to better plan and allocate work during the absence.

8.1.5 In cases of continued absence, employees must contact their Line Manager regularly to provide them with up-to-date information. Should the absence continue then the employee and the Line Manager must decide upon the frequency of further/continued contact and the form that this will take – wherever possible, this should be through phone calls. This contact is the opportunity for the employee to update their Line Manager on their absence and how they are feeling, as well as an opportunity for the Line Manager to inform the employee of any updates from work, as appropriate.

8.1.6 It is not sufficient to provide fit notes as a means of maintaining contact. It should be noted that failure to maintain contact, as per the agreement with the Line Manager, may result in the payment of occupational sick pay being delayed or withheld. Any decision to take disciplinary action or to withhold or delay payment of occupational sick pay must be made only following receipt of specialist HR advice.

## 8.2 Evidence of Incapacity to Work

8.2.1 For absences lasting seven calendar days or less, on the first day back at work, employees will be required to complete a Sickness Self-Certificate. This should include the reason for absence. The Certificate will be countersigned by a manager and subsequently will be kept in the employee's file.

8.2.2 For absences exceeding seven calendar days a doctor's fit note must be submitted to the line manager, no later than the tenth day of absence and covering the absence from the eighth day. The fit note is normally retained by the line manager and the absence recorded on the appropriate staff absence record form. A further fit note must be submitted should an absence continue beyond the period covered by the initial fit note and to ensure there is continuous cover for the period of absence.

8.2.3 Failure to submit consecutive fit notes in a timely manner may be considered in breach of the Attendance Management Policy and may invoke the Disciplinary Procedure. Such periods of unauthorised absence could result in suspension of pay until the submission of a fit note.

## 8.3 Statement of Fitness to Work

8.3.1 The statement of fitness to work, known as the 'fit note' allows a doctor/GP to advise whether an employee is either:

- Fit to work
- Not fit to work
- May be fit to work (subject to conditions)

8.3.2 Should the doctor/GP suggest that they 'May be fit to work' there are now a number of options open which may help to get the employee back to work, including:

- Phased return to work
- Amended duties
- Altered hours
- Workplace adaptations

Any such recommendations should be discussed and agreed with the individual and line manager prior to commencement of work at a return-to-work meeting.

8.3.3 Should it not be possible to accommodate the recommendations made by the doctor/GP on the fit note, then the medical note should be interpreted as though the doctor/GP had advised 'Not fit to Work' for the duration of the note. This means the employee does not need to return to their doctor until the expiry of the note in such circumstances.

#### **8.4 Return to Work Discussion**

8.4.1 Upon returning, an employee will be required to attend a return-to-work meeting with their Line Manager to discuss their absence, irrespective of the length of time of absence. Should the employee have been absent with a sensitive condition he/she may request that a manager of the same gender undertake the return-to-work meeting. The return-to-work meeting is separate to an absence review meeting and will take place at an agreed time and in a private place. The return to work discussion should be a two-way supportive conversation.

8.4.2 The discussion should allow for an exchange of information and be as frank and as open as possible in order to fully understand the nature of the absence and to consider any assistance, help, counselling or other action on work-related issues that may help an employee to return to work or prevent further absence occurring.

8.4.3 The Line Manager should also take the opportunity to discuss any patterns or trends of absence with the employee and confirm the required attendance levels and the thresholds at which informal and formal stages of the Policy will trigger.

#### **8.5 Personal or Domestic Violence Matters**

8.5.1 An employee may inform their Line Manager of a personal issue which may be impacting on their health and attendance during a return to work or other absence related meeting, Line managers must respond sympathetically and confidentially to any issues raised and provide support where possible.

8.5.2 In particular, the Combined Authority is committed to supporting employees experiencing domestic violence/abuse and will provide them with information and sign post them to the support services available. This should also include access to any confidential counselling services available to all Combined Authority staff.

8.5.3 The Line Manager should explore the options available in the Other Leave Policy, Annual Leave Policy or any other relevant policy that would allow a member of staff time off to visit solicitors and other agencies required to address domestic abuse/violence issues, including adult and child protection.

## **9 Absence Management Trigger Points**

- 9.1.1 The Combined Authority maintains an accurate method of recording and monitoring levels of absence. Should the amount of time being taken off for illness give cause for concern, a Line Manager will discuss this with the employee at the return-to-work meeting and provide them with a record of all absences from work, the employee should also be advised at this point if they have reached a trigger point threshold for formal action set out below.
- 9.1.2 The employee will have the opportunity to explain any personal or work-related issues or mitigation which may be a factor for their absence and there should be opportunities to consider how best to support an improvement in attendance.
- 9.1.3 The triggers for the Pre-stage Review and formal stages of the Absence Management Policy are defined as follows:

*Where an absence has lasted for 15 working days or more, or there have been 3 or more episodes of absence of one day or more on a rolling 12-month basis (starting with the first day of the latest absence).*

- 9.1.4 The Line Manager should seek specialist HR discussion on any matters where they believe reasonable adjustments or discretion should be exercised in relation to sickness absence triggers. This is generally used when an employee has a disability for the purposes of the Equality Act 2010. In these circumstances occupational health advice should be sought and consideration should be given as to the appropriate attendance requirement level that is required, taking all relevant factors into account.

## **10 Absence Management Pre-Stage Review**

- 10.1 A pre-stage review is undertaken at the point that a current absence reaches one of the trigger point thresholds as defined in Sec 9.1.3. above and the Line Manager will undertake a review of the absences over the past twelve months.
- 10.2 Where the employee has returned to work, a review meeting will be arranged for as soon as possible and this can be at the same time as the return-to-work interview but, in any case, no later than 5 working days following the return. Where the employee remains on sickness absence, then a meeting should be arranged with the employee as soon as possible at a mutually agreeable venue and time

The purpose of a Pre-Stage Review is to consider the following:

- Whether there are any underlying causes of absence and, if so, whether it is appropriate to agree a referral for professional advice or guidance or consideration of other policies such as employee well-being/stress risk assessment.

- Comparison of the employee's attendance record over the last twelve months when compared with the twelve months immediately prior to this – to assist with identification of any patterns and potential solutions.
- Evaluation of the past twelve months record, including:
  - The number of occasions of absence
  - The length of time off for each absence
  - The total time lost
  - The periods of work in between the absences
  - The reasons for each absence, and
  - Whether or not the person has sought medical advice for recurring conditions leading to sickness absence.
- Where relevant, the impact of long-term conditions, disability or industrial injury on the overall absence record.

Account will also be taken of any previous absence reviews that are still current under this procedure.

10.3 The employee will be advised of the outcome of the Pre-Stage Review by the Line Manager. Two options are available, as follows:

- No escalation is required at that stage and absence monitoring will continue as normal, or
- Referral to Stage 1 of the formal absence management process.

## **11 Absence Management Process – Formal Stage 1 Meeting and Recording of Jointly Agreed Remedial Actions**

11.1 The Line Manager will meet formally with the employee to discuss the findings of the Pre-Stage Review and jointly seek a solution to improve and sustain attendance. This should include:

- The agreement of specific milestones for future improvements
- In the event of the employee remaining off sick at the time of the meeting, a target return-to-work date and frequency of future monitoring/review meetings. This must take full account of any medical or occupational health advice available and any reasonable adjustments that could be made to secure an earlier return to work.

11.2 A copy of the return-to-work form will be given to the employee and a copy saved on the employee's personal file. It is important that the employee raise at the Stage 1 meeting any factually inaccuracies they believe are recorded on the return-to-work form.

11.3 Where the stage 1 formal meeting is considering several absences for the same reason, or where the reason may have an effect on the work performed (e.g. back pain) then medical advice should be sought from Occupational Health. An adjournment in the proceedings will be appropriate to consider the medical advice before discussing and agreeing future, individual milestones or return-to-work dates.

- 11.4 A letter will be sent to the employee following the completing of the Stage 1 formal review meeting setting out the matters considered, the agreed individual milestones or return-to-work date and any other agreed actions.
- 11.5 The emphasis at Stage One is engagement and agreement on appropriate supporting actions, individual milestones or a return-to-work date. It is not considered that an appeal process should be necessary within this context, however, there remains a right of appeal to a manager of greater seniority than the Line Manager in the event that it is not possible to agree the reasonable steps and actions to be taken.
- 11.6 The Stage One review will lapse when the individual's attendance record drops below the trigger thresholds and remains so for three months. The Line Manager will monitor and review the record with the employee at regular intervals as agreed in the action plan, in order to ensure that progress is being maintained and relevant support remains under regular review. Such monitoring reviews may be incorporated into scheduled supervisory or 1:1 meetings.
- 11.7 The employee will move to a Stage 2 review should the agreed improvements not be met or maintained or the target return-to-work date agreed not result in a return-to-work.

## **12 Absence Management Process – Formal Stage 2 Meeting and Recording of Jointly Agreed Remedial Actions**

- 12.1 A Stage 2 review meeting will be arranged where there has been a failure to attain the required standard of improvement or the employee does not return to work by the return-to-work date agreed at Stage 1. The employee's Service / Programme Director will review the case in the presence of the Line Manager and the employee. The employee has right to representation at a Stage 2 review meeting, either by a representative of a recognised trade union or, where appropriate, or by a Combined Authority colleague not acting in a legal capacity.
- 12.2 Supporting documents for the Stage 2 meeting review will be send to all parties 5 days in advance of the meeting.
- 12.3 The role of the Service / Programme Director at Stage 2 is to lead a review of the progress made with the Stage 1 actions and seek a common understanding of the root causes of the failure to achieve the required improvement or return to work. Considerations will include:
- Reasons for the continued absence or failure to achieve the required milestones
  - Continued length of time absent from work (where relevant)
  - Frequency of absences
  - The nature of the work being undertaken
  - Previous medical or occupational health opinion and the impact of any reasonable adjustments, additional support or training previously agreed.
- 12.4 The outcomes available to a Stage 2 review meeting are as follows:

- A further period of monitoring at Stage 1
- Referral to Occupational Health for a medical opinion, and the meeting will be adjourned pending the receipt of this opinion
- A further formally agreed action plan, with appropriate but clear time scales for improvement or a revised return-to-work date. The action plan will include regular reviews of progress against the improvement milestones at a frequency set out in the action plan
- Consideration of reasonable adjustments (or further reasonable adjustments) to the role, where these can be accommodated. If business requirements are such that adjustments can only be made in the short term, the reasons and time scales must be made clear to the employee
- Consideration of suitable alternative employment opportunities within the Combined Authority, where this would be considered a reasonable adjustment to enable the employee to return to work/sustain attendance.
- Call a case conference

12.5 It is essential that the employee is made aware of the seriousness of a Stage 2 review, such that attendance at work must improve so that the rolling twelve-month record drops below the trigger thresholds and remains below it for 3 months, the review will then lapse. Other recommendations may also be made dependent upon the circumstances of the case.

12.6 The Stage 2 meeting will be documented and the outcome confirmed in writing to the employee within the 5 working days following the date of meeting. The letter will include a warning that should the agreed individual milestones or target return date not be met then this will result in a Stage 3 review which could lead to termination of employment. Where there is a failure to agree appropriate action and individual milestones at a Stage 2 Review meeting there will be a right to appeal to an Executive Director.

### **13 Absence Management Process – Formal Stage 3**

13.1 Where the required individual milestones or target return-to-work date at Stage 2 is not met, a Stage 3 hearing will be held. The Stage 3 hearing will be chaired by an Executive Director and the panel will also comprise a Service / Programme Director not involved in the Stage 2 review. The employee's Line Manager will present the case and the employee has right to representation at a Stage 3 either by a representative of a recognised trade union or, where appropriate, or by a Combined Authority colleague not acting in a legal capacity. Either side may ask questions and there will be an adjournment for the panel to determine the appropriate action.

13.2 The options available to the panel are as follows:

- A further period of review at Stage 2, with clear individual milestones and timescales or a return-to-work date
- Referral for a further medical or occupational health opinion and the meeting will be adjourned pending the receipt of this opinion).
- Call a case conference
- Dismissal on grounds of poor attendance or capability

13.3 The Stage 3 meeting will be documented and the outcome will be confirmed in writing to the employee within 5 working days following the date of the meeting. The letter will set out the employee's right of right of appeal.

13.4 In the case of a dismissal, such an appeal must be submitted in writing within 10 working days of receipt of the dismissal letter and addressed to the Chief Executive (Head of Paid Service).

13.5 The grounds for an appeal against dismissal are as follows:

- Failure to follow the sickness absence management policy and procedure correctly
- The sanction was not fair or reasonable when considering all the circumstances, or
- There is further or new evidence/mitigation that was not previously considered, which if taken into account might change the decision to dismiss.

## **14 Long Term Sickness Absence**

14.1 In the circumstances where an employee has been off work for 15 continuous working days or more, the Line Manager must seek to take a sympathetic, consistent and fair approach when reviewing the actions available the above procedures will be followed, however, in addition the following steps will be taken:

- Contact will be made with the employee to discuss their current state of health and the likelihood of their return to work within a reasonable period. A Stage 1 meeting will be arranged at a mutually agreed venue following the pre-stage review. A specialist HR advisor may also be in attendance at the meeting, if appropriate.
- The Line Manager will review the case with the employee at regular intervals, typically every 4-6 weeks (although less frequent reviews may be appropriate depending on the nature of the illness) and the may refer the case to a Stage 2 meeting should there be no return to work following a reasonable period of time (dependent upon the reasons for the absence and all the circumstances).
- Advice will be sought, as necessary, from a medical practitioner dependent upon the circumstances and nature of the illness.

14.2 Discussions will include options to help the individual return to work, which could include:

- A phased return (if advised by GP or other medical professional) or occupational health, where the business needs of the Combined Authority can accommodate this
  - Changing hours or restricting duties in the short term
  - Undertaking suitable alternative employment within the Combined Authority on a temporary, time limited or permanent basis
- 14.3 Should there be no return to work after a period of monitoring at Stage 2 then further options available should be discussed with the employee. There should be a full and thorough assessment of all the circumstances and consideration should be given to any adjustments or rehabilitation in relation to disability or recovering from an injury incurred at work, where appropriate. The options available include:
- Returning to work within an agreed reasonable period
  - Continued monitoring at Stage 1 or 2 of the procedure
  - Undertaking suitable alternative employment
  - Ill-health early retirement
  - Termination of employment on the grounds of capability.
- 14.4 Where the employee returns to work their sickness absence record will continue to be monitored at the stage that it had reached during their absence.
- 14.5 Where the decision is taken to terminate employment, the employee should be given their contractual period of notice as a minimum (plus any payment for outstanding annual leave). Agreement should be sought in reaching this decision; however, where this is not possible the employee will have the right of appeal under the Appeals Procedure.
- 14.6 Where the employee is considered a disabled person under the Equalities Act 2010, then reasonable adjustments should have been explored before a decision to terminate is made, this includes adjustments to the procedure.
- 14.7 Should no other suitable alternative employment opportunities or adjustments be identified and a Stage 3 decision is taken to terminate the contract on grounds of ill-health or disability, all reasonable efforts and support in securing alternative employment will continue made during the notice period.
- 14.8 Should medical advice be given that the employee could be fit for work in the near future but they do not return and, as a result, they are subsequently dismissed for poor attendance, this will represent the end of the absence management process – save for the right to appeal – as alternative employment opportunities and reasonable adjustments should have already been considered prior to this decision being taken, i.e. at Stage 2 of the Absence Management Policy.

14.9 Particular care and discretion should be taken in cases of terminal illness to respect the employee's wishes and to consider whether they are able to return to work with reasonable adjustments, as well as access to appropriate support and counselling, if desired. The Line Manager should agree with the employee and / or their family the frequency of contact. This may also be varied according to the stages of the employee's illness.

14.10 Should it not be possible or the wishes of an employee to return to work following a terminal diagnosis, the employee will be treated with compassion, dignity and fairness in retiring.

## **15 Impact Assessments**

### **15.1 Equality**

○

Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

# RECRUITMENT AND INDUCTION POLICY

<b>Authorship:</b>	Strategic Director of HR & OD (Interim)
<b>Committee Approved:</b>	Executive Board
<b>Approved date:</b>	28/11/2025
<b>Equality Impact Assessment:</b>	11/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority Employees
<b>Policy Number:</b>	HEYAM 1
<b>Version Number:</b>	v1.1

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as ‘uncontrolled’ and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving body	Approval date	Date published on website
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	28/11/2025	N/A

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## **1 Introduction**

- 1.1 Hull and East Riding of Yorkshire Combined Authority (the "Combined Authority") is committed to attracting, selecting and retaining the best talent to deliver high-quality and effective services to local residents.
- 1.2 The Recruitment and Induction Policy sets out the process for recruitment and selection which enables the Combined Authority to respond in a fair, transparent, flexible and agile manner to changing workforce needs, while remaining compliant with legal, equality and diversity requirements and reflecting the communities it serves.

## **2 Purpose and Scope**

- 2.1 The purpose of this policy is to set out a clear, consistent and transparent framework for recruiting and inducting employees to the Combined Authority. It aims to:
  - Ensure recruitment and induction processes support the Combined Authority's vision and workforce planning needs
  - Promote fairness, equality and diversity in all recruitment activities
  - Enable agile and flexible approaches to attract and retain talent, including the ability to appoint to permanent or fixed-term roles through approved recruitment agencies where appropriate
  - Provide guidance to managers and staff on their responsibilities throughout the recruitment and induction process
  - Ensure compliance with all relevant legislation, safeguarding requirements and best practice standards.
- 2.2 This Policy applies to all employees of the Combined Authority, including those on temporary or fixed-term contracts. It applies to those recruited directly or via approved recruitment agencies, as well as internal transfers and promotions.

## **3 Principles**

- 3.1 The following principles underpin the Combined Authority's approach to recruitment and induction:

- *Agility and Flexibility* - Recruitment processes will adapt to organisational needs, including expedited routes for critical roles
- *Equality and Diversity*
  - All candidates will be treated fairly under the Equality Act 2010. Additionally, applicants leaving care will be treated as if this is a protected characteristic legally.
- *Merit-Based Selection*
  - Appointments will be based on skills, experience and suitability
- *Transparency*
  - Clear documentation and audit trails will be kept for all decisions
- *Safeguarding*
  - Compliance with safer recruitment standards for roles potentially involving vulnerable groups
- *Localism*
  - The Combined Authority exists to create a more prosperous Hull and East Riding of Yorkshire for everyone who lives here. Emphasis will therefore be placed on candidates demonstrating a clear understanding of and commitment to these local areas.

3.2 The Combined Authority also endeavours to be an equal opportunities employer and has taken measures to ensure that any opportunity for discrimination during the recruitment process is minimised. Personal information is removed from application forms prior to short listing and is used for monitoring purposes only. The Combined Authority will also ensure that objective selection criteria are used, the decision-making process is recorded and it can be demonstrated that appointments are made on merit. It also is committed to guaranteeing that all applicants who meet the essential criteria and identify as having a disability will receive an interview.

3.3 Data is held and destroyed in line with data protection legislation. Only information essential to the recruitment decision and employment contract will be obtained and will be kept in accordance with relevant legislative provisions.

## **4 Roles and Responsibilities**

### **4.1 Chief Executive (Head of Paid Service)**

The Chief Executive (Head of Paid Service) is responsible for:

- Establishing and maintaining this Policy
- Ensuring the fair and equitable application of this policy

## 4.2 Executive Directors and Other Directors

Executive Directors and other directors have responsibility for embedding this Policy within their respective areas, ensuring its requirements are adhered to. Approval to recruit to a vacancy must also be given by the Executive Director under whose department the vacancy arises and subject to the confirmation of alignment to strategic workforce planning and budgetary controls.

## 4.3 Recruiting Managers

Recruiting Managers are responsible for:

- Gaining authorisation from the relevant Executive Director to recruit to a vacancy
- Preparing full details of the vacancy, e.g. draft advertisement, job description and person specification in consultation with the specialist HR advisor, as appropriate
- Arranging interview dates and interview panel members
- Conducting interviews and providing feedback to candidates
- Providing details of successful candidates to the specialist HR advisor
- Recruiting staff by applying the full requirements of this Policy, including but not limited to, the aspects relating to equality of opportunity and fairness, and documenting decisions accordingly.

# 5 Recruitment Process

## 5.1 Pre-Recruitment Checklist

The following checklist should be completed and confirmed with the relevant Executive Director, prior to commencing a formal recruitment process:

- Have the duties for the new (or existing) vacancy been reviewed and confirmed?
- Can the work alternatively be reasonably absorbed by re-organising existing resources?
- Has skill mix been considered as an alternative to recruitment?
- Has the rationale for a permanent or temporary appointment to the vacancy been confirmed?
- Is the vacancy suitable to be covered by a temporary secondment?
- Have the terms and conditions for appointment been established in advance?

## 5.2 Recruitment to Temporary Vacancies

The recruitment and selection principles set out in this Policy apply equally where a vacancy arises on a temporary basis, such as in the case of long-term sickness cover or maternity leave. In such circumstances, initial consideration would be given to internal secondment or temporary promotion wherever possible to cover the temporary vacancy, subject to the business needs of the organisation.

Utilisation of commercial agency staff may also be considered as an alternative to a full recruitment process to a temporary vacancy, where this is deemed to be more cost effective on a case-by-case basis. The Combined Authority reserves the right to appoint to substantive roles following a period of successful agency placement, where this best meets the business needs of the organisation. No such cases should be considered without the prior approval of the Strategic Director of HR & OD (interim) or another Executive Director in their absence.

### 5.3 **Ringfencing of a Vacancy**

The ringfencing of a vacancy would only normally apply where other Combined Authority permanent posts have been designated "at risk" and the vacancy is judged to represent suitable alternative employment for one or more of the displaced staff. Specialist HR advice must be sought in such circumstances however the shortlisting may be limited, in the first instance, to displaced staff who meet the essential criteria for the vacancy.

### 5.4 **Advertising a Vacancy**

All Combined Authority vacancies will be advertised internally. In addition, where additional external advertising is deemed necessary and approved by the relevant Executive Director or Director, the recruiting manager should establish the most efficient and effective method of advertising, having due regard to factors such as the seniority or specialist nature of the role. A clear value for money rationale for external advertising must be established in advance in all instances.

The Combined Authority may also choose to participate, from time to time, in a local clearing house arrangements / knowledge and skills pools with other local government or public sector agencies. Vacancies will also be advertised through this mechanism, where established and in operation.

### 5.5 **Selection Process**

All those involved in the shortlisting and / or recruitment interview must ensure that they focus on the essential requirements of the job and skills needed to perform it effectively. They must also follow any shortlisting and interview guidance that the Combined Authority may issue from time to time. As a minimum, written notes must be kept that record the systematic assessment of each candidate and rationale for the appointment decision.

### 5.6 **Pre-Employment Checks**

Satisfactory checks against the following must be completed prior to the offering of an employment contract to the successful candidate:

- verification of identity
- medical clearance
- receipt of satisfactory references
- proof of right to work checks
- evidence of satisfactory Disclosure and Barring Service (DBS) certificate (where required for the role)
- proof of relevant qualifications and professional registration (where these are necessary for the role appointed to)

## 5.7 **Withdrawal of an Offer of Employment**

The Combined Authority reserves the right, after careful consideration, to withdraw the provisional offer of employment. Specialist HR advice must be sought in advance in such circumstances and the clear grounds explained and rescinding of the employment offer made in writing to the candidate. Such circumstances are typically rare but could include unsatisfactory references or a failure against other pre-employment checks.

## 5.8 **Probationary Period and Induction\***

A contractual probationary period provides an opportunity for both the employee and the Combined Authority to assess suitability for the role. It ensures performance, conduct, and cultural fit meet organisational standards before confirming permanent employment.

The standard Combined Authority probationary period is 6 months. This may be extended by a further 3 months where performance requires further review.

It is the responsibility of line managers to provide clear objectives, feedback and support to new employees and new employees' responsibility to engage with induction, training, and performance expectations.

Should performance or conduct remain unsatisfactory after reasonable support and extension, employment may be terminated following due process within the probationary period, with one week's notice from either party.

The successful completion of the probationary period is also conditional on successful completion of the Combined Authority induction requirements, which may include core induction on the organisation's values, policies and compliance, together with role-specific induction such as team objectives, systems and processes and health and safety.

*\* The Employment Rights Bill is currently nearing the final stages of Parliamentary approval prior to Royal Assent. It sets out a new statutory probation period, the precise length of which is presently subject to consultation. Employers retain the ability to maintain contractual probationary terms over and above the statutory rights set out in the Bill. The Combined Authority will review its current probation terms to ensure that they remain consistent with the Bill, once it is placed on the Statute Book.*

# 6 **Impact Assessments**

## 6.1 **Equality**

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Hull and East Yorkshire Combined Authority is committed to creating an environment where everyone is treated equitably and the potential for discrimination is identified and mitigated. It aims to design and implement services, policies and measures that meet the diverse needs of our service, population, and workforce, ensuring that none are placed at a disadvantage over others.

It is required that an assessment be carried out on a new policy that is likely to impact on staff, visitors, contractors, citizens or anyone else involved in the business of the Combined Authority.

Potential adverse impact on any protected group identified through such assessment will be monitored as part of the routine work to monitor compliance with the policy.

# TRAVEL, ACCOMODATION, SUBSISTENCE AND OTHER EXPENSES POLICY

<b>Authorship:</b>	Strategic Director of HR & OD (Interim)
<b>Committee Approved:</b>	Executive Board
<b>Approved date:</b>	28/11/2025
<b>Equality Impact Assessment:</b>	11/2025
<b>Target Audience:</b>	Hull and East Yorkshire Combined Authority Employees
<b>Policy Number:</b>	HEYCA T&S 1
<b>Version Number:</b>	v1.1

The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as 'uncontrolled' and as such may not necessarily contain the latest updates and amendments.

## AMENDMENTS

Amendments to the policy may be issued from time to time. A new amendment history will be issued with each change.

<b>New Version Number</b>	<b>Issued by</b>	<b>Nature of Amendment</b>	<b>Approving body</b>	<b>Approval date</b>	<b>Date published on website</b>
1.1	Strategic Director of HR & OD (Interim)	New Policy	Executive Board	28/11/2025	N/A

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## 1 Introduction and Purpose

Hull and East Yorkshire Combined Authority (the Combined Authority) is committed to providing a high quality and productive work environment that supports the delivery of its principles and promotes the wellbeing of its staff. This includes adopting and maintaining a comprehensive suite of staff and human resource policies.

It is recognised that employees may necessarily incur travel, accommodation, subsistence or other legitimate expenses whilst carrying out Combined Authority duties. This Policy sets out the framework for reimbursable expenses.

## 2 Purpose and Scope

The purpose of the Policy is to establish the scope and rates of reimbursable costs and expenses incurred when carrying out legitimate Combined Authority business, whilst also ensuring that:

- All employees have a clear and consistent understanding of the Combined Authority's policy for business travel and expenses
- Employees use the most cost-effective method of travel for a reasonable level of service and comfort.
- The Combined Authority secures the maximum value for money from public resources.

The Policy applies to all employees who are employed by the Combined Authority. This includes employees on temporary contracts and fixed term contracts. Staff who are seconded from other employing organisations, agency workers or contractors (workers engaged through 'employment intermediaries') should refer to their own employer policies.

This Policy does not apply to Members of the Combined Authority. They should refer to the relevant Member's expense policy (Combined Authority or Constituent Council, as appropriate).

## 3 Principles

The Combined Authority has adopted the National Joint Council (NJC) for Local Government Services' National Agreement terms for travel, subsistence and other associated expenses (otherwise known as the Green Book) – the principal elements of which are set out below. It may however, in due course, enter into locally negotiated agreement for travel and subsistence arrangements.

The NJC Agreement defines such expenses as,

“Employees necessarily incurring additional expense in the course of their work in respect of travel, meals or overnight accommodation will be reimbursed approved expenses, subject to appropriate evidence of expenditure being produced, in accordance with local arrangements”.

All Combined Authority staff are responsible for complying with this Policy and any associated guidelines. All employees submitting claims through this Policy must maintain, as necessary, the following:

- Receipts
- Details of the business purpose and duration of travel
- Mileage logs (for mileage expenses)

They have a responsibility to transport themselves to and from their normal place of work at the required time and will not be reimbursed mileage for their home to work travel, unless claiming excess travel where such circumstances apply.

All staff will use the most cost effective, efficient and appropriate means of transport when travelling on official business and will be reimbursed at the appropriate and agreed rate. The Combined Authority assumes no obligation to reimburse employees for expenses that do not comply with this policy or which have not been appropriately authorised. Employees are not entitled to claim back travel or subsistence claims through petty cash under any circumstances.

Where in operation, overnight accommodation or travel should be booked in advance through approved channels or preferred suppliers.

Employees who do not comply with this Policy and any related guidance may be subject to:

- Delay or withholding of reimbursement, or
- Disciplinary action in line with the Combined Authority's Disciplinary Policy and procedure.

## 4 Travel Expenses

**4.1.1 Public Transport:** Expenses will be reimbursed at standard (second class) rates.

**4.1.2 Mileage Allowance:** A rate per mile travelled will be payable for use of private vehicles for work purposes, based on NJC approved rates. These rates align with His Majesty's Revenue and Custom's (HMRC's) approved mileage rates, which are currently as follows:

- *Cars and vans:* 45p per mile for the first 10,000 miles, then 25p per mile thereafter
- *Motorcycles:* 24p per mile
- *Bicycles:* 20p per mile
- An additional payment of 5p per passenger, per business mile, can be claimed for carrying fellow employees in a car or van on journeys which are also work journeys for them.

For further information, including current rates, please visit the HMRC site at:

<https://www.gov.uk/government/publications/rates-and-allowances-travel-mileage-and-fuel-allowances/travel-mileage-and-fuel-rates-and-allowances>

### 4.1.3 Insurance

Employees using private cars for business purposes must have appropriate business insurance included on their car insurance policy, including indemnifying the employer against all third-party claims (including those concerning passengers) arising out of the use of their vehicle for carrying out the business of their employer. It is the employee's responsibility to check their policy includes appropriate business insurance.

### 4.1.4 Mileage Calculations

All employees claiming business mileage costs must maintain an official record of their journey giving full details of each journey, the reason for the journey and the names of any official passengers. Mileage claims should be restricted to the shortest and most direct routes possible for journeys undertaken.

Where an employee makes an official journey involving a diversion from their normal home to work journey, the mileage reimbursed will be the difference between the mileage incurred and the employee's normal home to work mileage.

All mileage claimed in the course of an employee's work will be subject to a deduction of the normal home to work and work to home mileage, as appropriate.

A deduction will be made if an employee incurs work mileage on a particular day but does not visit their work base. The deduction is the actual mileage the employee would have incurred if they had travelled directly from home to base and return.

Employees who use their own transport (including lease car) to travel outside the Council's boundaries and who are away from home overnight are required to deduct one amount of home to work/work to home private mileage from their claim for each day or part day thereof of their official journey.

**4.1.5 Other Costs:** Parking fees, tolls and other necessary travel-related expenses may be reimbursed at face-value cost. All such claims must be accompanied by a receipt.

## 5 Subsistence

**5.1 Meal allowances** - Combined Authority employees may claim the following meal allowances when away from their normal place of work on official duties in the circumstances stipulated below:

Allowance	Qualifying Criteria	Amount (£)
Breakfast	The employee has an absence of more than four hours and leaves home before 6.00am	6
One meal absence *	Continuous absence from usual workplace for between 5 and 7.5 hours	15

Two meal absence *	Continuous absence from usual workplace for more than 7.5 hours	25
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\* All such claims must be accompanied by a receipt. The allowance will not be paid where a suitable meal is provided at the location where the employee is working from.

## 5.2 Overnight accommodation and expenses

The Combined Authority will reimburse (or approve) the reasonable cost of overnight hotel accommodation where overnight stays are necessary when carrying out Combined Authority business (typically where an employee spends two or more continuous days working at a location more than two hours commute from their home or base – whichever is the closest).

Reasonable hotel costs are reimbursed (or approved) at the HMRC Benchmark Rates (2025) for Overnight Hotel Accommodation, as follows:

Category	Qualifying Criteria	Amount (£)
Accommodation – London *	Located within the M25 boundary	Up to 165 per person, per night, inclusive of VAT
Accommodation – Rest of UK *	Located outside the M25 boundary	Up to 145 per person, per night, inclusive of VAT
Incidental Overnight Expenses	Incidental costs incurred during overnight stays, including: - Business-related phone calls - Parking - Other minor expenses	Up to 25 per person, per night

\* In exceptional circumstances, higher rates may be approved should suitable accommodation not be available within the benchmark limits. **All** accommodation at a higher rate than the specified allowance **must** be authorised in advance by the Chief Executive (Head of Paid Service) or another Executive Director in their absence.

## 6 Impact Assessments

### 6.1 Equality

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