



GREENER EALING LIMITED

MEETING OF THE BOARD OF DIRECTORS

WILL BE HELD AT 13:00 ON THURSDAY 16th SEPTEMBER 2021, BY MS TEAMS

AGENDA

Item No.	Agenda Title	Lead	Action	Paper/Verbal
1.	Apologies for Absence	MB	Information	
2.	Declarations of Interest (in respect of items on the agenda)	MB	Information	
3.	Minutes of the meeting held on 1 st July 2021	MB	Approval	(3)
4.	Matters Arising			
4.1	Action Log	MB	Information	(4.1)
4.2	Register of Directors' interests – annual review	JS	Approval	(4.2)
Governance				
5.	HR Update	BG		
	- Induction Policy		Approval	(5a)
	- Probation Policy		Approval	(5b)
	- Sickness Policy update		Approval	(5c)
6.	Workforce Profile – Equalities and Monitoring Report	BG	Information	(6)
Strategy, Project & Operations				
7.	MD Report	KOL	Information	(7)
8.	Consolidated Performance Report including HSEQ and Transport	KOL	Information	(8)
9.	Risk Management Report	KP	Information	(9)
	- Detailed review of risk register			
10.	Finance Update	KP	Information	(10)



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|-----|---|----|----------|------|
| 11. | Financial Regulations <i>(updated for approval limits as per Scheme of Delegations)</i> | KP | Approval | (11) |
|-----|---|----|----------|------|

Board Forward Plan

- | | | | | |
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| 12. | Board Forward Plan | KOL/JS | Approval | (12) |
| 13. | Any Other Business | MB | Information | |
| 14. | Date of next meeting: 18 November 2021 | | Information | |

- | | | |
|------------|---|---|
| Present: | Mike Boulton
Alison Reynolds
Kieran Read | MB Chair and Director
AR Director
KR Director |
| Attendees: | Kevin O’Leary
Bill Gilmour
Katarina Pohancenikova
Helen Harris
Lucy Taylor
Dipti Patel
Jo Steel | KOL Interim Managing Director, GEL
BG Head of HR and Comms, GEL
KP Head of Finance, GEL
HH Director of Legal and Democratic Services, LBE
LT Shareholder Representative, LBE
DP Director of Place Delivery, LBE
JS Waterstone/Bridgehouse Company Secretaries (minutes) |

Apologies:

**GREENER EALING LIMITED (“GEL”)
MINUTES OF THE BOARD OF DIRECTORS’ MEETING
HELD AT 14:30 HOURS ON THURSDAY 1ST JULY 2021 BY MS TEAMS**

Present:	Mike Boulton	Chair and Director	MB
	Alison Reynolds	Director	AR
	Kieran Read	Director	KR
In attendance:	Kevin O’Leary	Interim Managing Director, GEL	KOL
	Bill Gilmour	Head of HR and Comms, GEL	BG
	Katarina Pohancenikova	Head of Finance, GEL	KP
	Helen Harris	Director of Legal and Democratic Services, LBE	HH
	Dipti Patel	Director of Place Delivery, LBE	DP
	Lucy Taylor	Executive Director of Place, LBE – Shareholder representative	LT
	Andrea Goldsmith	Bridgehouse Company Secretaries (minutes)	BHCS

1. Apologies for Absence

- 1.1** MB welcomed those present, especially LT who was attending her first GEL Board meeting as the new Shareholder Representative, replacing Gary Alderson. LT introduced herself and her role, noting that there had been a change in LBE administration, with a new Cabinet and Leader. Cllr Dierdre Costigan’s portfolio will now include GEL. There will be work to do on the new three priorities: economic growth and inclusive growth; climate and sustainability; and poverty and inequality. LT noted the positive first year of GEL and looked forward to working with GEL to build on the good work already done.

2. Declarations of Interest

- 2.1** There were no conflicts of interest in regard to items on the agenda.

3. Minutes of the last meeting – 15th April 2021

- 3.1** The minutes of the last meeting were **approved** with no changes.

4. Matters arising from the previous Board meeting

- 4.1** The Board discussed and **noted** the summary update of matters arising from the previous Board meeting. There were no outstanding items that were not on the agenda.

- 4.2** The following resolutions were **ratified**, having been made since the last meeting:

- 4.2.1** Approval of a temporary credit card limit increase from £5,000 to £30,000 to allow GEL to pay for 2021-22 vehicle tax. The increase will be for a period of 4 months until the end of September 2021.

- 4.2.2** Approval to enter and delegate the signing and execution of the following Facility Agreements and Debenture with London Borough of Ealing (“LBE”):

- Facility Agreements:

- Working Capital Loan Facility Agreement
- Fixed Capital Loan Facility Agreement
- Operator Licence Loan Facility Agreement with LBE

- Debenture - in favour of LBE under which GEL will provide fixed and floating charges, as well as security by way of assignment, over its assets to secure obligations of GEL to LBE under the Facility Agreements.

Governance**5. HR update****5.1 Data breach update**

5.1.1 BG reminded the Board that there had been a data breach in April 2021, relating to new starter information missing following an office refurbishment. The affected new starters had been notified and given advice on next steps. The Police, insurance providers and ICO had also been advised. A number of actions had been taken, which the ICO had confirmed they were happy with and that no further action was required by them.

5.1.2 HH asked what had been put in place to avoid this in future. BG confirmed that GEL used the same e-training as LBE, and the GDPR policy had been refreshed with Jo Steel (BHCS). Managers and staff would refresh their understanding of the policy and e-training. New lockable cabinets had been bought for new starter information, which was only held in hard copy for as short a time as possible before being filed electronically. The office locks had also been changed with the number of people having access reduced.

5.1.3 The Board noted the update with MB adding that the incident had been handled well.

6. Matters Reserved and Scheme of Delegation

6.1 KP advised that the changes were being proposed to provide additional approval to cover leave, and to smooth corporate processes. There was no change for the Shareholder approval or Matters Reserved to the Board.

6.2 The Board **approved** the changes to the Scheme of Delegation.

Strategy, Project and Operations**7. Managing Director's report**

7.1 KOL presented the new consolidated performance report, which would be continued if the Board were happy with the format.

7.2 The reporting period had been very challenging. There was pressure on the number of HGV drivers, as had been reported nationally, and the resilience of the service. The model inherited from Amey had relied on agency drivers, which was no longer viable. Supervisors were taking on driving roles to prioritise collections, but this was causing problems in other areas. GEL were looking at the overall package to recruit drivers directly, and there may be a need to review the package to encourage more candidates. The preference was for regular drivers and regular teams who were familiar with the rounds. KOL assured the Board that GEL were meeting the SLA requirements.

7.3 KR noted that the HGV issue had been raised at previous meetings, and asked what support the Board could provide, such as reviewing the recruitment and in-house training and development. KOL stated that they were looking at recruitment and retention, and emphasising local jobs for local residents. Five new starters had been recruited, but not all had stayed as to the difficulty of driving through the narrow streets which had resulted in a few bumps and scrapes to vehicles. LT suggested that the AD for Employment and Skills

could help with a bespoke training and development programme. MB reported on a recent meeting with Government about HGV driver shortage, and the reluctance to open up recruitment for non-UK drivers.

- 7.4** GEL were looking to optimise routes, including changes in the garden waste routes. There had been a problem with garden waste due to delays in subscription renewals being passed across from LBE to GEL. This was being resolved, and GEL were taking a “clear all” approach which had been agreed with the Council. There had been an increase in waste tonnages in this service, although it was not clear why. A new dedicated supervisor is now keeping the GW service under review. AR added that there had been a problem with the IT systems, one of which would be changed at the end of this financial year. There were also some residents who had paid several times, with refunds being worked though.
- 7.5** For communal and flats, the routes had been reviewed for efficiencies and reduction in overtime. The trade waste rounds had also been looked at, which may give some capacity for LBE to increase trade waste recycling across the borough. Food waste was also being reviewed but a more cautious approach was being adopted bearing in mind LBE’s growth aspirations for this service.
- 7.6** The grounds maintenance had been hampered by the warm and wet weather, which meant that it was taking more time to cut the grass, and so overtime was being incurred. It was hoped that the backlog would be cleared by the end of July 2021.
- 7.7** The new Blink app had been rolled out to improve communications across the organisation, from front-line to CEO, as part of the culture work. Approximately one-third of the staff were using the app, with some colleagues using the app more than others: the grounds maintenance team were adding lots of pictures of their work.
- 7.8** The efficiency and cost review by LBE on the first year will be undertaken over Summer 2021, this will be considered by the Councils Joint Contracts Board. This will also allow for any changes to the Service Agreement to be discussed and resources agreed in Autumn 2021 for the following financial year and GEL Business Plan. This would then be the annual cycle of business plan and reviews in future.
- 7.9** AR advised that there had been fewer calls to the contact centre recently, which would be monitored and fed back to the Board.
- 7.10** The Board **noted** the report, and **approved** the new format.
- 8. Consolidated Performance Report – including HSEQ and Transport**
- 8.1** KOL presented the report, noting the new metrics such as for CO₂ emissions and vehicle idling times. There had been a reduction in idling times since it had started being monitored, possibly because of not needing to heat the cabs in summer months, and so there were opportunities for efficiencies.
- 8.2** The number of missed collections had increased, with 10 in May 2021 and over 10 in June 2021. For bulky waste, there had been a problem with driver numbers, and so non-scheduled collections had been cut. The metric for the parks had fallen considerably, due to the weather. Sickness rates continued to fall to towards the 3% target.

8.3 The HSEQ performance was going well. The purchase of 6 electric vehicles is on hold subject to LBE's consideration of electric charging points within the depot.

8.4 The Board **noted** the report.

9. **Risk Management – update**

9.1 MB suggested that the risk register be reviewed in detail at the next meeting, which was **agreed: ACTION**. MB noted that the risk related to HGV drivers had not been recognised and added, which KOL acknowledged and noted that this had been discussed by the senior team as well. **BHCS**

10. **Finance – update**

10.1 KP presented the report, noting that GEL had generated a £34k surplus, which with the positive variances gave a £136k surplus. KP took the Board through the reasons for these variances, advising that no draw down on the loans had been required during the reporting period. The loan agreements had now been signed. The credit card was used for online purchases, vehicle taxes and payment of fines.

10.2 The outstanding issues raised by Deloitte during the year-end reviews for the start-up costs. There were concerns that these may have breached state aid regulations, with legal advice being commissioned. As previously reported no updates had been received on the premise leases and agreements, with estimated costs of £1.2m.

10.3 The HWRC plant provision had been agreed for an interim one year, with a tender carried out by the LBE procurement team and the vehicle and plant framework. The Board were asked to approve the award of the contract to Electric 2050 for current equipment and two further yard-loaders. The Board were asked to not the option to switch to alternative electric options for our requirements as and when this became available. Contract will be for an initial 48 months, with the potential for a 48-month extension. The Board **approved** the tender award to Electric 2050.

11. **CSR Policy – small projects and delegated authority**

11.1 This item was withdrawn to allow more work to be done.

12. **Board Forward Plan**

12.1 The Board **noted** the plan, which had no changes

13. **Any Other Business**

13.1 There were no items of any other business.

14. **Date of next meeting: 16 September 2021**

14.1 There being no other business, MB thanked those present and closed the meeting at 15:24

Signed

Chair of the Board

Date

GREENER EALING LTD - ACTION LIST – 16 September 2021

Minute Ref	Action items arising from minutes	Officer	Due By	Comments	Status
Actions arising from 17th December 2020					
8.3.5	Finance update – To circulate the draft financial statement when available at the end of January 2021.	KP		Update awaited from auditor	OPEN
Actions arising from 25th February 2021					
6.10	Workforce Profile – equalities and monitoring report – To present workforce information by grade for the next review.	WG	Sept 21	Update to be provided at September meeting	CLOSED
6.11	Workforce Profile – equalities and monitoring report – To consider offering driver training to work up to an HGV license.	WG	Sept 21	Update to be provided at September meeting	CLOSED
Actions arising from 15th April 2021					
9.2	Formal Recognition Agreement – GEL and GMB union – Discussions to take place with the GMB regarding the inclusion of a matrix to reference staff representatives.	WG/KOL		Verbal discussion with GMB now completed	CLOSED
11.7	KPIs and Operational Performance Report – To provide a list of GEL's achievements. KR to then follow up with the Communications Team, regarding celebrating success at GEL's 1-year anniversary.	KOL/KR		Year one activity completed	CLOSED
16.5	Fleet Provision and Transport Compliance – To provide a note to the Board on the issue of the stability of food waste vehicles.	KOL		Note was provided to the Chair following the meeting in April.	CLOSED
16.6	Fleet Provision and Transport Compliance – To provide a note to the Board on the status of the procurement of the 10 e-vehicles, with updates to be provided in the report going forward.	KOL		Update was given at 1 July meeting	CLOSED
Actions arising from 1st July 2021					
9.1	Risk Management – To include a detailed review of the risk register on the agenda at the next meeting.	BHCS	Sept 21	Update to be provided at September meeting	CLOSED

(KO) Kevin O'Leary

(MB) Mike Boulton

(AR) Alison Reynolds

(KR) Kieran Reid

(HH) Helen Harris

(KP) Katarina Pohancenikova

(BHCS) Jo Steel / Lizzie Purewal

(WG) Bill Gilmour

Report Title	Register of Directors' Interests		
Meeting	Greener Ealing Board Meeting		
Date	September 2021	Agenda Number	4.2
Type of Report	For Approval		
Author	Jo Steel can be contacted on jo@bhcsecretaries.co.uk		
Background	The Register of Interests is issued to the Board for approval.		

Annual Declaration of Interests

- The Conflict of Interests Policy requires the directors of Greener Ealing Ltd to make a declaration of Interests at least annually, or whenever a potential conflict arises.*
- Each of the three directors have completed an updated declaration in the past month.
- The 2021 Register is attached. Please note that there is one minor change to the register for Alison Reynolds (new directorship) but the interest does not create a conflict for GEL.
- No changes to the Conflict of Interests Policy are suggested at this time.

The Board is asked to **approve** the Register of Interests.

**Board Members are politely reminded that in between annual declarations, they are obliged to make revised declarations, if potential conflicts arise in the meantime.*

Director	Employment	Other Appointments	Significant Share Ownership	Property or Landholding in Borough	Other relevant personal or financial interests inc close relatives	Authorisation of any conflict required and date	Date of Declaration
Michael Boulton	None	None	None	None	None	N/A	21.08.21
Kieran Reid	Director of Strategy & Engagement, London Borough of Ealing	None	None	None	None	Any conflict arising from employment at LBE is authorised by Articles of GEL	20.08.21
Alison Reynolds	Director of Customer & Transactional Services, London Borough of Ealing	Director of Glory Mill RTM Company Ltd (leasehold management) - unpaid	None	None	None	Any conflict arising from employment at LBE is authorised by Articles of GEL; Director of leasehold management company does not create a conflict	20.08.21

Report Title	GEL policies: Induction and Probation		
Meeting	Greener Ealing Board Meeting		
Date	September 2021	Agenda Number	5 A&B
Type of Report	For Approval		
Author	Bill Gilmour can be contacted on gilmourw@greenerailing.co.uk		
Background	<p>To discuss and approve the policies on Induction and Probation.</p> <p>These policies are supplemental to other people management policies - such as Employee Code of Conduct, Discipline and Grievance - previously submitted to this Board.</p> <p>Taken together, they will provide the framework for dealing with all people management issues at GEL.</p>		

Introduction

During the past year or so, we have, periodically, submitted a number of policies and procedures to the Board, which are designed to help us to deal consistently with all people management issues. We now attach policies on Induction and Probation.

Induction –

The purpose of the induction policy is to ensure that all new employees are provided with the same key information about the Company, quickly and in a structured way, to help them integrate effectively into their role during the remainder of their probationary period.

Probation –

The purpose of probation policy is to set a clear process for line managers to manage the performance, attendance and conduct of employees during their probationary period.

Taken together, these policies on Induction and Probation will be a useful addition to our framework, in that they will provide a process for providing clarity and setting standards at the outset; and for ensuring performance is monitored and assessed during the initial weeks and months of the employment.

INDUCTION POLICY

The purpose of the induction policy is to ensure that all new employees are provided with the same key information about the Company, quickly and in a structured way, to help them integrate effectively into their role during the remainder of their probationary period.

Scope

This policy relates to all newly appointed employees, as well as any existing employees that move to a new job role within the Company. Existing employees, in particular, are expected to be proactive during their induction into their new role – which may be shorter than would have been provided to a newly appointed employee. In all instances, the induction is designed to ensure that employees receive the relevant information and support from appropriate sources to enable them to succeed in their new job role.

Company Induction - Overview

GEL's induction programme is designed to ensure that all new employees are provided with the same key information as standard, but this will be supplemented and adjusted to include bespoke elements to suit the individual needs of the employee's new job role.

Pre-commencement

The Company will provide a written employment contract and supplementary information to employees prior to the commencement of their employment. This will cover: Who we are; GEL's Vision and Values; and our expectations of staff Working Together for GEL.

Induction Programme - Outline

The standard Company induction is operated every two weeks or more frequently, if required. It will build on information provided in the pre-commencement pack and will follow the process outlined below:

Day One - Aims

The aim of the induction on day one is to introduce new employees to the Company, and to each other. It aims to:

- settle the new employee and make them feel that they are a welcome addition to the team;
- get them "on board" with the aims, objectives and ethos of GEL;
- provide clarity over job roles and company expectations;
- increase productivity, morale and staff retention rates;
- improve the company's reputation.

Above all, the induction intends to familiarise new employees with our standards and Company culture so that they know what is expected of them.

Day One – Overview

The following topics will be covered:

- Company Overview; Vision and Values; Understanding Purpose and Pride;
- Overview of People Systems (iTrent, Blink, Alcumus, Health Assured and Absentia);
- Health & Safety modules (Risk Assessment and Safe Systems of Work, Accident and Incident reporting, PPE, Manual Handling, Reverse Assistant training);
- Overview of HR policies (Disciplinary, Grievance, Absence, Equalities and Diversity)

Day Two and Beyond

Any generic training not covered in day one will be completed before role specific induction/training can be undertaken, such as driver assessments; tools training; specific systems training, etc.

The inducted employee will then be “handed over” to their relevant line manager, who will discuss where they fit into the team and arrange, where necessary, any further training required. A booklet setting out specific on-the-job training processes and everyday tasks will be issued to the new employee and, upon completion, this will be retained on the training record.

The line manager will complete the key documentation required of the new employee, including asking the employee to sign the statement of main terms and conditions of employment, where this has not already been done.

Remainder of first week

The remainder of the induction programme in the first week could consist of placing the employee on internal or external training sessions required by the job role or the business generally.

The week could include the new employee “buddying” or “shadowing” with an experienced colleague, to enhance understanding.

The week could also include site visits, meetings with key employees to go over systems, procedures, techniques, equipment, production methods etc.

The line manager will arrange an induction review meeting to take place at the end of week one, to ask the new employee how the first week has gone.

Second week

The structure of the second week is dictated by the needs of the role and the line manager’s experience in this area. However, it is expected that close support will be provided to the new employee to ensure they have completed all mandatory training modules, are successfully integrated into the team and able to undertake the work required.

Probationary reviews

The Company employs all new employees subject to a probationary period. During this period, the employee’s performance will be assessed at regular intervals.

Depending on the job role, a training programme will consist of internal shadowing, internal training courses, and external training programmes and on the job training.

The line manager will meet with the employee at the following intervals, to conduct probationary review meetings:

Revision	Date	Amendment	Content owner	Mandated by
First issue	20 July 2021		Bill Gilmour	Kevin O’Leary

Probationary review schedule	
Informal review -	Ongoing during first week
First month review	End of first month
Second month review	End of second month
Probationary review	End of <i>three</i> month period

Note: Further details of this process are available in the Probationary period policy.

Coaching

The Company provides new employees with coaching from the first day of their employment, through their line manager. This includes coaching in relation to new tasks, processes and concepts.

Line managers will provide employees with training to ensure they have enough support to undertake their job roles. Coaching will continue during the probationary period and beyond depending on the needs of the job role.

Policy monitoring

The policy in relation to induction will be evaluated by feedback methodology overseen by the Training Academy. Any feedback provided by employees through their probationary reviews will also be used to inform aspects of the policy.

All aspects of the policy will be evaluated and monitored on a regular basis by the HR department to ensure the policy remains relevant to the Company's needs and in line with changes to GEL's business plan.

Revision	Date	Amendment	Content owner	Mandated by
First issue	20 July 2021		Bill Gilmour	Kevin O'Leary

PROBATIONARY PERIOD POLICY

The purpose of this policy is to set a clear process for line managers to manage the performance, attendance and conduct of employees during their probationary period.

Purpose and scope

It is Greener Ealing Limited's (GEL's) policy to operate a probationary period for all new employees and may be used where an existing employee is commencing a new role. Probationary periods will be used constructively to help new employees integrate effectively into the company and allow the line manager to assess whether the employee is suitable for the role.

The length of probation will be three months. The period of probation will be set out in the documentation provided to the employee.

Managing the probationary period

The line manager is responsible for setting objective performance standards for the employee and should discuss their expectations with the employee. A mid-point probationary review meeting should be held with the employee during their probationary period. This meeting will be used to assess how the employee is progressing and discuss whether any improvements are needed for the employee to successfully complete their probationary period.

Providing support during probation

The line manager is responsible for providing guidance and support to the new employee during the probationary period. The level of support required will differ depending on the individual employee. All support necessary should be given by the line manager to allow the employee to successfully complete their probationary period and continue their employment.

The line manager should ensure the employee receives appropriate training at the start of the probationary period. An induction and training plan should be set in place to assist with the employee's development and introduction to the company. All relevant company documentation should be made available to the employee from their start date.

Providing support for disabled employees

As legally required by the Equality Act 2010, line managers must provide additional support to disabled employees to ensure they are not subjected to unlawful or less favourable treatment during their probationary period. Reasonable adjustments must be made to remove any barriers the employee faces at work.

The line manager must discuss the support offered to disabled employees during their probationary period with the HR department.

Addressing concerns during the probationary period

During the probationary period, the line manager will be continually assessing the suitability of the employee. The line manager should hold a mid-point probationary review meeting to discuss any concerns with the employee's performance, attendance or conduct during the probationary period.

When concerns are raised before or after the mid-point probationary review meeting, the line manager should arrange a formal meeting with the employee to discuss these. Failing to address these concerns in a timely manner could lead to the employee failing to complete their probationary period. Minutes of the meeting should be made and a record of any agreed actions should be made in writing and provided to the employee.

Terminating employment before completion of the probationary period

Most employees will remain employed by GEL until the end date of their probationary period. In some circumstances, the line manager may identify that the new employee is unsuitable for their role and will not reach the required standard with further support before the end of the probationary period.

Where there is sufficient evidence that the required standards are not being met and are unlikely to be met, the employment can be terminated at any stage during the probationary period. The line manager should discuss early termination with the HR department.

Exceptionally an employee's probationary period may be extended by a further three months. The line manager should seek advice from the HR department in advance of extending an employee's probationary period.

Terminating employment at the end of the probationary period

Despite being provided with support, necessary training and concerns being addressed as they arise, the employee may not meet the required standards of performance by the end of their probationary period. This includes, but is not restricted to, the employee not meeting their work targets, persistent lateness or unacceptable conduct during their probationary period.

The line manager may decide that their probationary period has been unsuccessful, and their employment should be terminated at the end of the probationary period. This should be discussed in advance with the HR department to ensure termination can take place at the end of the probationary period.

The line manager should hold a probationary review meeting with the employee and inform them of the decision to terminate. The reasons for termination should be recorded in the probationary period review form.

Confirming successful completion of the probationary period

If the employee has met the required standards during their probationary period, the line manager should hold a probationary review meeting with the employee and inform them that they have successfully completed their probation. Future performance objectives should be discussed and agreed with the employee.

The line manager shall notify the HR department that probation has been successfully completed and the line manager will confirm this to the employee in writing.

Terminating employment after probation

The employee's future performance will be assessed under GEL's capability policy and their conduct will be reviewed under GEL's disciplinary policy. Any breach of these policies will be managed in accordance with the company's normal processes which could lead to formal action up to and including dismissal.

Dishonesty during the probationary period

Following the probationary period, the line manager may discover that the employee has been dishonest when applying for the role. The line manager should inform the HR department immediately.

Revision	Date	Amendment	Content owner	Mandated by
First issue	5 July 2020		Bill Gilmour	Kevin O'Leary

Report Title	Sickness absence policy – amendment		
Meeting	Greener Ealing Board Meeting		
Date	16 September 2021	Agenda Number	5C
Type of Report	For Approval		
Author	Bill Gilmour can be contacted on gilmourw@greenerrealinq.co.uk		
Background	<p>To discuss and approve the amendment of GEL’s sickness absence policy (appendix 5).</p> <p>The clause will allow GEL to recover any company sick pay where an employee's incapacity is caused by a third party and the circumstances are such that compensation or damages may be recoverable,</p>		

Introduction

GEL's sickness absence policy was approved by the board at its April 2020 meeting and it has worked satisfactorily since then.

Recently we have had occasions where GEL employees have suffered injuries at work caused by third parties. They have received company sick pay as normal and in addition they have opted to pursue claims from third-party insurers.

In such circumstances it is common for employers to seek to recover the cost of company sick pay.

The amendment proposed within the attached policy will enable GEL to recover more easily any payments expended from the third-party insurer.

SICKNESS ABSENCE POLICY

Greener Ealing Limited (GEL) aims to encourage all its employees to maximise their attendance at work whilst recognising that they may, from time to time, be unable to attend work due to ill-health. This policy aims to strike a reasonable balance between the genuine needs of employees to take time off work because of sickness and the needs of the company to operate effectively to meet its contractual obligations.

Principles

GEL complies with the requirements of the Equality Act 2010. Where employees become disabled and wish to remain in employment, every effort will be made to make reasonable adjustments. Managers may refer employees to the company's Occupational Health provider for advice and/or examination at any time during their employment.

GEL reserves the right to require employees not to report for work if they have been in contact with infectious or contagious diseases, or if the company considers that the employee is otherwise unfit to attend work due to sickness or injury.

Entitlement to paid sickness absence, in accordance with their employment contract, is conditional on employees complying with the notification and certification requirements of this policy. Where the contract is silent on sick pay provisions, statutory sick pay will apply.

To ensure consistency, trigger points to instigate disciplinary action are provided. In cases of unsatisfactory levels of sickness absence or long-term absence due to illness or injury where capability is questioned, GEL will consider dismissal. GEL reserves the right to implement the procedure at any stage, taking into account the individual circumstances of the case.

Scope

This policy applies to all GEL employees except those covered by:

- an alternative agreement with a recognised trade union
- other explicit arrangements as a consequence of joining the company under the provisions of the Transfer of Undertakings (Protection of Employment) Regulations (TUPE)

This policy does not form part of any employee's contract of employment and it may be amended at any time. Time limits may be varied as required.

Revision	Date	Amendment	Content owner	Mandated by
First issue	5 July 2020		Bill Gilmour	Kevin O'Leary
Second issue	16 September 2021	Appendix 5	Bill Gilmour	Kevin O'Leary

Responsibilities

People managers

Are responsible for providing good physical working conditions and maintaining health and safety standards.

They have the responsibility to manage and support their employees, with support from Human Resources; and to ensure that sickness absence is kept to a minimum by taking the following actions:

- recording all absences and records of all discussions
- holding "return-to-work discussions" after each absence
- referrals to Occupational Health, if appropriate, to determine whether there is any underlying medical cause for the absences and to facilitate a return to work.

All employees

Have a responsibility to take care of their physical and mental health and to comply with this policy and related procedures. In particular, they must:

- follow the notification process
- complete a self-certification certificate for all sickness absences up to and including 7 days
- provide a doctor's certificate or "fit note" for all periods of sickness absence exceeding seven days
- participate in "return to work discussions"
- inform their manager if they feel they have a disability or any medical condition which affects their ability to undertake their work
- act on medical advice and not participate in activities which could undermine recovery
- attend Occupational Health appointments and cooperate fully with the Occupational Health process, including engaging with the possible implementation of any adjustments to job duties, hours or working conditions, resulting from recommendations made by their doctor and/or the company's Occupational Health provider
- take any annual leave that has been accrued during sickness absence within 18 months of the end of the holiday year in which they were off sick, or the leave will be lost.

The Occupational Health service

Will provide a referral and reporting service to managers for employees who are absent from work due to sickness. Occupational Health specialists will offer advice and support to facilitate effective sickness absence management and, where appropriate, guidance on reasonable adjustments.

HR

Has the responsibility to monitor the implementation of this Policy and to ensure procedures are managed fairly. The HR department will provide guidance and support to people managers.

Procedures

Notifying the absence

An employee who is unable to attend work due to sickness must follow the company's notification procedures, which are outlined at **Appendix 4**.

Recording the absence

People managers must follow up, record and report all absences as per the Absentia procedure. They must update HR as necessary when medical certificates are received and when an employee returns to work.

Return to Work

Each time an employee returns to work following sickness absence, their people manager should speak to them about the absence and the reason for it in a fair and factual way. The manager should be supportive towards the employee and, where appropriate, seek to identify ways in which to assist the employee to improve their attendance in the future. Guidelines on managing the return to work discussion are provided in **Appendix 1**.

Trigger Points

To ensure consistency, the following trigger points are provided to indicate the need to start the relevant Absence Review Process:

- 3 instances of sickness absence or 8 or more cumulative days in any 12-month period – refer to the recurring and short-term absence process in **Appendix 2**.
- 4 weeks' continuous sickness absence – refer to the long-term absence process in **Appendix 3**.

Additional intervention by the people manager may be required, for example when it is likely from the start that an absence will last for longer than 4 weeks.

Before proceeding with any stage of the Absence Review Process, managers **must** contact the HR department for advice.

Appendix 1 – Return to Work Discussion - Guidelines

The Return to Work discussion is a key part of the sickness absence management process. Not only does it provide an opportunity to discuss any problems the employee may have which has led to their sickness absence, it also highlights to the employee that their sickness absence has been noted and their sickness absence record is under observation.

It is crucial that a Return to Work discussion takes place after each sickness absence, whatever its length, on the day of return.

The discussion should be informal and by no means suggestive that a disciplinary process is underway which should be communicated to the employee.

The discussion should be a one-to-one meeting between the employee and the direct people manager and should take place in a private area so that employees feel comfortable to talk about their reasons for their absence. Enough time should be set aside to complete this discussion so that the employee has the time they need to cover all of the issues without feeling rushed.

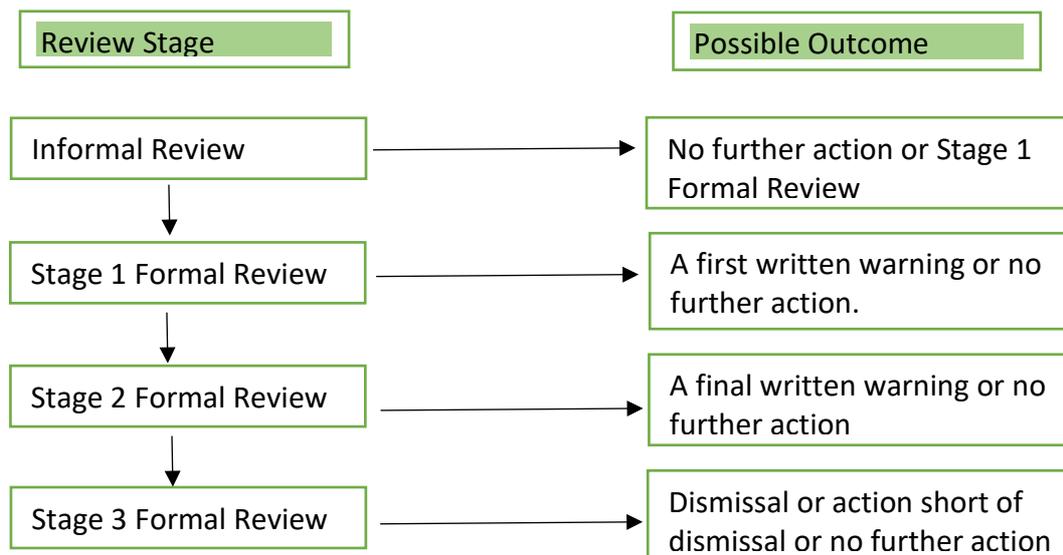
In some instances, it may be difficult to arrange a time at which both the employee and manager are available (for example, in the case of those that work frequently on a site different to their managers). In these cases, managers should consider alternative methods for holding this discussion, such as over the phone or allowing a supervisor to carry out the discussion and relay the information back to the people manager.

Objectives for the discussion:

- To discuss the reasons for absence and give the manager the opportunity to check that the person is fit enough to return to work
- To understand whether a referral to Occupational Health is appropriate at this time
- To offer the support of the Employee Assistance Programme
- To review the level of sickness absence against the trigger criteria and if a problem is identified, to provide an opportunity for attendance targets to be set and agreed by both the people manager and employee
- To identify any domestic, welfare or work-related problems and discuss whether there is anything that can be done to help improve attendance relating to these causes
- To update the employee on what has happened at work during their absence
- To ensure that the employee has complied with correct notification and certification procedures. Failure to do so may result in company sick pay being withheld and may lead to action under the disciplinary procedure.
- To review suspected reasons for or patterns of sickness absence and where appropriate, to challenge these.
- To check that Self-Certificates and/or G.P. Fit Notes have been provided and are sent to HR.

Appendix 2 – Absence Review Process – Recurring and Short-Term Sickness Absence

People managers are required to monitor and regularly review absence levels with the aim of helping employees to maintain high standards of attendance. The process is as follows:



Informal review

If an employee hits a trigger, (3 occasions or 8 days of absence in a 12-month period) their people manager should invite them to an informal attendance review meeting to assess whether or not formal action is necessary. Before arranging the meeting, the manager must call HR Manager to log the case and obtain advice on the process.

Managers should review their notes from previous return to work discussions and consider the following:

- Be alert to patterns, for example the persistent Monday or Friday absentee. If a pattern is identified, the manager should put his/her observations to the employee directly so that the employee has the opportunity to provide an explanation. The manager should, however, remain open minded and not jump to any hasty conclusions about the employee's absences.
- Try to establish, through investigation and discussion with the employee, the underlying reasons for frequent absences. Until the underlying cause is identified, an appropriate and effective remedy will be difficult to identify.
- Check whether or not absences are in part because of personal or family problems. If this is the case, a reasonable degree of tolerance and sympathy should be shown towards the employee, as the problems may be unavoidable. The manager should be supportive, while at the same time explaining clearly to the employee that continuing frequent absences from work are unacceptable.
- Check whether the employee's absences are in any way work-related, for example as a result of workplace stress. If the problem is work related, the manager should take prompt steps to remove or reduce the factor that is causing the employee's problem. If a manager decides formal action is not appropriate, they should still make it clear to the employee that attendance will continue to be monitored and any further absences may result in formal action.
- If a manager decides formal action is necessary, they should move to Stage 1 Formal Review.

Stage 1 Formal Review

The people manager will invite the employee to a formal review meeting at which they have the right to be accompanied.

The outcome of the meeting could be:

- a first written warning is issued; or
- the decision is postponed to allow for an Occupational Health referral to determine if any reasonable adjustments are appropriate;
- no further action.

Where issued, a first written warning letter will confirm the outcome and indicate that an immediate marked and sustained improvement in attendance is required. The warning will remain “live” for a period of 12 months (from the date of issue) during which the employee’s attendance will continue to be monitored by their manager.

If attendance during the 12-month warning period is satisfactory (i.e. fewer than 3 instances or 8 cumulative days of sickness absence) no further action will be taken.

If the employee fails to improve their attendance level to an acceptable standard, the manager will progress to stage 2 formal review. There is no need to wait until the end of the warning period if it is clear that the employee is failing to meet an acceptable level of attendance.

Stage 2 Formal Review

The people manager should arrange a further formal review meeting, as soon as possible at which the employee has the right to be accompanied.

The outcome of the meeting could be:

- a final written warning is issued; or
- the decision is postponed to allow for an Occupational Health referral to determine if any reasonable adjustments are appropriate;
- no further action.

Where issued, a final written warning letter will confirm the outcome and indicate that an immediate marked and sustained improvement in attendance is required. The warning will remain “live” for a period of 12 months (from the date of issue) during which the manager will formally monitor the employee’s attendance and meet with the employee regularly to discuss their progress.

If attendance during the 12-month warning period is satisfactory (i.e. less than 3 instances or 8 cumulative days of sickness absence), no further action will be taken.

However, should the employee reach the trigger points at any point during the 12 months period following expiry of a final written warning, they may be invited to a second stage 2 review meeting, without the need for a stage 1 meeting.

If the employee fails to improve their attendance level to an acceptable standard, the manager will progress to Stage 3 Formal Review. There is no need to wait until the end of the warning period if it is clear that the employee is failing to meet an acceptable level of attendance.

Stage 3 Formal Review

The people manager should arrange a further formal review meeting, as soon as possible, at which the employee has the right to be accompanied.

The outcome of the meeting could be:

- dismissal; or
- action short of dismissal, such as redeployment;
- no further action.

Any decision to dismiss must be only be taken after liaising with the HR department.

Appeals

An employee can appeal against the issue of any formal sanction and has the right to be accompanied to the appeal hearing. Arrangements will be made for an independent manager, more senior than the hearing manager, to hear the appeal.

The outcome of the appeal will be one of the following:

- the employee's appeal is not upheld and the original outcome is confirmed; or
- the employee's appeal is upheld and the original outcome is overturned or reduced.

The appeal manager's decision is final and no further appeals are available.

Appendix 3 – Absence Review Process – Long Term Sickness Absence

Once an employee has been off sick for three consecutive weeks (or sooner if it's obvious that the absence will be prolonged to beyond four weeks) their people manager must call the HR department to log the case and discuss what actions may be appropriate.

Maintaining contact

Managers should establish and agree regular contact with the employee with the aim of supporting them during their illness. A weekly phone call would be reasonable in most cases. However, always bear in mind the individual circumstances of the case when deciding how often to contact the employee.

The people manager should refer the employee to the GEL Employee Assistance Programme (EAP).

In some cases, a home visit should be considered, for example, when it may be inappropriate to discuss the employee's health by telephone, or where the employee has failed to make or maintain contact. The manager should take a colleague with them on a home visit or consider a neutral location.

A hospital visit should only be made if absolutely necessary and with the express permission from the employee and their family members. Throughout a period of long-term absence, the employee should send all medical certificates ('fit notes') to their people manager who will forward the certificate to HR.

Occupational Health Support

Once it is apparent that the employee is going to be absent for three weeks or longer, the people manager will need to decide if an OH referral is appropriate. The referral should be done as soon as possible, ideally before the end of the fifth week of absence. Health Management Referral - Guidelines for Managers can be obtained from the HR department. If the manager has been unable to obtain consent from the employee to make a referral, due to little or no contact with them, they should proceed based on what information is available.

Long Term Sickness Review Meetings

The people manager should meet with the employee at appropriate intervals to discuss their continuing absence and consider options that could help them return to work, subject to the individual circumstances.

The aims of the meetings are to cover the following:

- Find out how the employee is feeling
- The prognosis of the health condition and likelihood of a return to work
- The options available (including reasonable adjustments, a phased return, use of a mentor, redeployment, or temporary change in hours or duties) to help them return to work
- Obtain consent for a referral to OH, or if a report has been obtained, to discuss the contents
- Update the employee on what's going on in the business

Return to work arrangements

If the employee is returning to work, where appropriate, the manager should discuss any adjustments to their working conditions, such as phased hours.

The people manager will need to discuss proposed Changes to Terms and Conditions with HR if any of the following changes to the employee's terms and conditions are made or proposed:

- salary, hours, work pattern or working location; or
- change to people manager, job/position

The employee will need to continue to submit medical certificates ('fit notes') if their days or hours have been temporarily reduced to ensure they are paid correctly. The people manager may also need their local Health, Safety, Environment & Quality (HSEQ) Manager to help conduct a workplace risk assessment. The people manager should hold a return to work discussion with the employee on their first day back at work and make a record of the discussion, using the on-line Return to Work discussion form.

A long-term sickness absence will result in the employee also reaching one of the triggers (8 or more cumulative days in any 12-month period) for the recurring and short-term sickness absence process. If the manager feels it is appropriate, they can undertake a review under the recurring and short-term sickness absence process once the employee has returned to work.

Capability meeting / dismissal

Our aim is to provide employees with support to help them to return to work. However, if it is clear that there is no reasonable prospect of the employee returning to work on a sustained basis, they will be invited to a formal capability meeting.

One of the outcomes may be dismissal, but all other reasonable options will have been explored and the people manager should have obtained appropriate up to date medical advice. In most cases Occupational Health will have obtained further information from the employee's GP or consultant before being able to make a final prognosis in terms of whether the employee will be able to return to work.

The employee has the right to be accompanied to the meeting and, if dismissal is the outcome, they have the right to appeal that decision.

Appeal

An employee can appeal against dismissal on capability grounds and has the right to be accompanied to the appeal hearing.

The outcome of the appeal will either be:

- the employee's appeal is not upheld and the outcome of the capability meeting stands; or
- the employee's appeal is upheld and the outcome of the capability meeting is overturned or reduced.

The appeal manager's decision is final and no further stages are available.

Notification Procedure Appendix 4

Any employee who is unable to attend work due to sickness must, as soon as possible, and no later than 1 hour before their normal contracted start time (or as per any local arrangement, if earlier) telephone Absentia, the company's electronic absence notification system on **0300 303 0609** and provide the following information:

- name
- ID number
- supervisor
- reason for absence
- expected duration of absence

Details on the notification procedure are given to employees on joining, and assistance is available from line managers and HR.

Employees must notify all absences personally through the Absentia system and should not rely on text messages or calls to supervisors or co-workers. They must complete a self certification certificate for all sickness absences up to and including 7 days and must provide a doctor's certificate or "fit note" for all periods of sickness absence exceeding seven days.

Failure to comply with the notification and certification procedures may disqualify employees from receiving company sick pay or SSP and may result in disciplinary action being taken.

Absentia number:

0300 303 0609

Sick Pay – Appendix 5

If the notification and certification procedures have been complied with, the standard Company sick pay applicable will be as follows:

Length of Service:	Duration of Company sick pay in any 12-month period:
Under 6 months	Up to 2 weeks' full pay
6 months to 12 months	Up to 1 months' full pay
12 months to 36 months	Up to 2 months' full pay
Over 36 months	Up to 3 months' full pay

Notes:

1. Employees who have TUPE transferred to the Company will receive sick pay in accordance with their contractual entitlement, as detailed in the Employee Liability Information.
2. Where an employee's incapacity is caused by a third party and the circumstances are such that compensation or damages may be recoverable, the employee must notify the Company as soon as possible. The employee will be required to refund to the Company any payments which have been made in respect of such absence, up to an amount not exceeding the amount of the compensation or damages recovered.

Report Title	Workforce Profile – Equalities and Monitoring Report		
Meeting	Greener Ealing Board Meeting		
Date	16 September 2021	Agenda Number	6
Type of Report	For Approval		
Author	Bill Gilmour can be contacted on gilmourw@ealing.gov.uk		
Background	<p><i>To discuss the Workforce Profile – Equalities and Monitoring Report.</i></p> <p><i>To note progress towards the specific equalities objectives contained in the report.</i></p>		

Introduction

At the February 2021 meeting, we presented our first Equality and Monitoring report. We acknowledged, at that time, that our equalities data was incomplete and we would, therefore, need to address this as a starting point.

We have made some progress in respect of gathering equalities profile data and feel that we now have a greater understanding of where we are as an equal opportunity company.

This is our second report and it indicates progress made thus far. Many of the highlights identified last time remain and we accept that changing the gender or ethnic profile may be a long – term project. This report:

- illustrates the wide disparity of male and female employees;
- acknowledges the ageing workforce;
- notes that there is a mix of ethnicities across the GEL workforce, including at senior level.

We will continue to analyse equalities data and will review recruitment processes to establish how we can more effectively attract a diverse range of applicants.

We will report again in September 2022.

GEL - Workforce Profile – Equality and Monitoring Report

Introduction

This is an update report and builds on the submission to the GEL Board on February 2021. It will draw on much of the information presented previously and will make comparisons for the purposes of identifying progress towards objectives.

At GEL, we are committed to meeting our obligations under both the Equality Act 2010 and subsequent Public Sector Equality Duties.

We aim to **“Nurture and build a diverse and representative workforce which, at all levels, broadly represents the community it serves, enabling it to better meet the service needs of our customers”**. (GEL Equality and Diversity Policy).

In furtherance of this, we will collect and maintain equalities data so that we can monitor this against our legal obligations and in line with good practice.

As before, this Equality and Monitoring Report acknowledges the protected characteristics laid down in the Equality Act - *age, disability, gender reassignment, pregnancy and maternity, marriage and civil partnership, race, religion or belief, sex and sexual orientation* – with initial focus on Gender, Race, Age and Disability.

It reflects information as at 1 September 2021 (341 employees – 322 males and 19 females) – excluding agency and secondees compared with 31 January 2021 (323 employees – 307 males and 16 females) – excluding agency and secondees.

Context

When GEL assumed responsibility for the Ealing contract on 5th July 2020, we acknowledged that i) our equalities data was incomplete (we had data for around one third of the workforce) and we would, therefore, need to address this as a starting point; and ii) there was/is a glaring imbalance of male and female employees.

Accordingly, we settled on 3 specific measurable equality objectives:

i) **To get an accurate base line of equalities information**

We worked closely with our supervisors and employees to get accurate base line information on our workforce profile. We feel that we have made significant progress on achieving this, which is crucial to achieving our equalities objectives ii) and iii), and are happy to report that our base line is largely up to date with a handful outstanding (at our first attempt we had ethnicity profile details of 277 of 323 employees we now have 332 of 341).

GEL - Workforce Profile – Equality and Monitoring Report

ii) **To increase the numbers of female HGV drivers employed on the contract.**

As reported previously, we had hoped that the recently adopted (2020) pay agreement and re-banding of HGV to £13.25 would help us to attract more female HGV drivers. However, initial discussions with our agency supplier indicated that female HGV drivers were, and are, more likely to opt to work in other industries to avoid having to share cabs with predominantly male colleagues.

Despite efforts to recruit both through the agency route and through direct advertising via Ealing Council jobs page, indeed, LG Jobs board, jobcentre, LinkedIn, GEL jobs page and other free jobs boards, we managed to only recruit 5 HGV drivers of which one was a female. Unfortunately, this represents a replacement of the single female HGV driver we had in post, who left for higher pay in May 2021.

The Board is aware of the national shortage of HGV drivers and we have reported on this previously. We are in process of training 11 GEL employees as HGV drivers and we anticipate that this will take another couple of months to complete. We also have 4 employees undertaking an HGV driver apprenticeship. Unfortunately, all of this cohort is male as none of our existing frontline female staff have ordinary driving licences.

Since the last Board meeting, in July 2021, (following a suggestion from the shareholder representative) GEL management had meetings with colleagues from the LBE training and development areas. As a consequence, we are in the process of recruiting residents from the borough who may be suitable candidates to be trained as HGV drivers. This will be paid for through S106 funding and may prove to be an ongoing resource stream for GEL. We have indicated in our advertisement that females are underrepresented in this area and therefore applications from them are particularly welcome. It is early days and any progress will be reported to future board meetings.

iii) **To increase the numbers of females generally across the workforce.**

As noted in our previous report we were conscious that our industry has not traditionally attracted many females and so this would be a challenge. This has proven to be the case. However, we remain hopeful that the regularity of work on offer and job insecurities in other sectors, highlighted during Covid, could have a positive impact on our numbers. We are prepared to consider flexible working, such as splitting hours – e.g. 10 until 2, or term-time only roles – if this helps.

Since our last report, we are pleased to note that our overall female numbers on the contract have increased from 16 to 19, a rise of 18.75%, a modest increase overall but a sign that we are heading in the right direction.

As before, most of these are in Street Cleansing (8 are employed in white-collar roles; 9 in Street Cleansing; 1 in Grounds Maintenance; and 1 (HGV driver) in Waste Collections).

Given point ii) above and also bearing in mind that GM and Streets roles would appear to more easily lend themselves to flexible working, our initial thoughts are that females in front line roles may be more likely to opt to work in Street Cleansing or Grounds Maintenance.

With this in mind, we will explore all opportunities to achieve objective iii) and hope, in due course, that we can persuade some females to take on the HGV route through apprenticeships and through direct recruitment/S106.

GEL - Workforce Profile – Equality and Monitoring Report

Female operatives focus group

In an effort to better understand the actuality of working for GEL, as a female, we undertook an exercise in May 2021 where 10 front-line female operatives were interviewed and asked specific questions on the pros and cons of working for GEL.

Every female worker interviewed said they would recommend working at GEL to a female friend or family member and in addition, would support a PR campaign to attract more females. This report is attached for information at **appendix 1**.

1. GEL – Ethnicity and Gender

The following table shows the staff breakdown by ethnicity and gender as of 1 September 2021.

Ethnic Origin	Female	Male	Total
Any other Asian background		5	5
Any other Black background	1	7	8
Any other ethnic group	1	6	7
Any other Mixed background		3	3
Any other White background	7	76	83
Asian or Asian British - Bangladeshi		1	1
Asian or Asian British - Chinese		2	2
Asian or Asian British - Indian	3	8	11
Asian or Asian British - Pakistani		3	3
Black or Black British - African		12	12
Black or Black British - Caribbean	1	26	27
Declined to Specify		10	10

GEL - Workforce Profile – Equality and Monitoring Report

Mixed - White and Black African		5	5
Mixed - White and Black Caribbean		4	4
Not known	1	8	9
White - British	4	136	140
White - Irish	1	8	9
White - Irish Traveller/Gypsy		2	2
	19	322	341

We are pleased to report that we now have significantly improved data profile information, as compared with February 2021 and only 9 employees' information (2.6%) is outstanding.

As before, around 3% of employees have declined to specify as is their prerogative.

For comparison purposes, we have again utilised the available Census information from 2011. Data from the recent census, undertaken in April 2021, will not be available until 2022 and is likely to show changes in the profile of the borough.

The data shows that:

- 69% (up from 65%) of GEL's workforce declare themselves as White – British, White – Irish or White from another background. In comparison to the wider population in Ealing of 49% White.
- 9.4% (down from 21%) in total of the workforce are from BAME communities in comparison to 51% in the wider population of Ealing.
- 16.4% (up from 14%) are Black African/Caribbean or mixed White/Black African Caribbean which is slightly above the census data for Ealing, from 2011 (14%).

Note: Bearing in mind the numbers of undeclared last time, it is possible that these numbers represent a better understanding of where we are rather than significant changes.

GEL - Workforce Profile – Equality and Monitoring Report

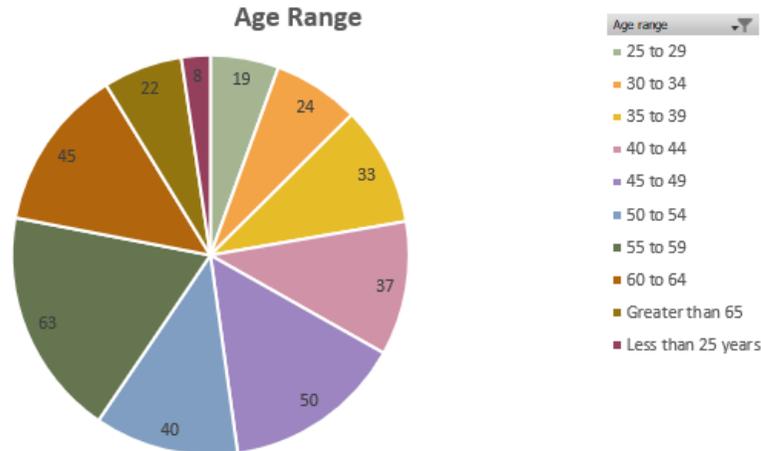
2. GEL – Age Range

Half of our staff (170 of 341) are over the age of 50, compared with 24.2% in the wider area who are over 50. This is largely unchanged.

The problems associated with an ageing workforce, as previously reported, remains a common factor across much of the UK and likely to be explained by increases to State Pension age, removal of default retirement age, and increases to life expectancy generally. The higher incidence of older staff at GEL could be explained by the limited occupational diversity and the lack of suitable alternatives in the local area. This would tend to be supported by the fact that 35% of employees (121 of 341) have a length of service greater than 10 years. (See table at 3 below).

All of the above still applies, and possibly more so, given that the pandemic had decimated the job market in terms of retail and hospitality in particular – meaning that any stable employment roles (such as our front-line roles) are likely to see very little staff turnover.

In respect of addressing the age profile, the Board may be interested to learn that we have taken on 3 employees on the kickstarter scheme, which applies to the age range 16-24. All 3 seem to be doing well in their respective roles and there is every possibility they will be retained after the 6 month “placement” has expired.



GEL - Workforce Profile – Equality and Monitoring Report

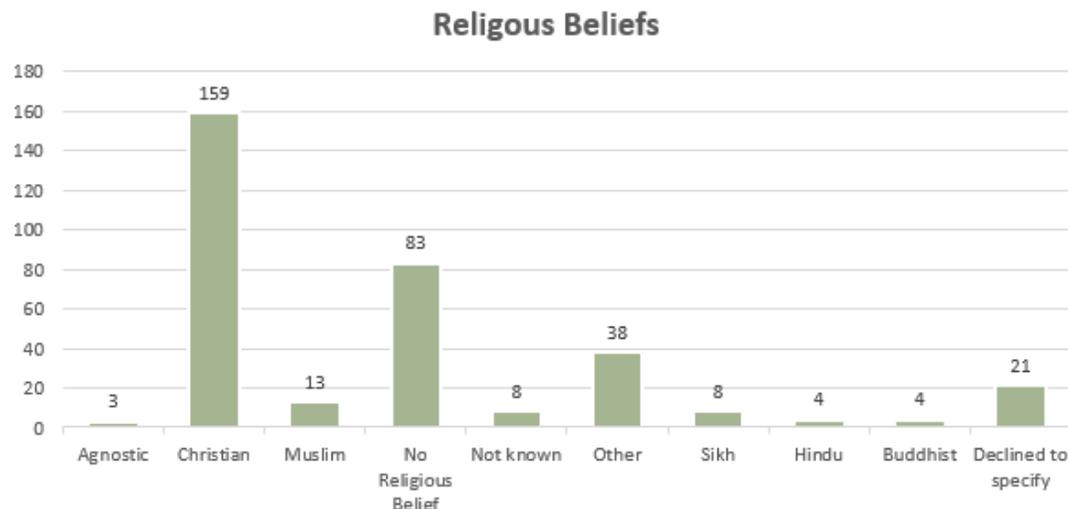
3. GEL – Length of Service

Department	0 to 5 Years	6 to 10 Years	11 to 15 Years	16 to 20 Years	21 to 30 Years	31 to 40 Years	Over 40 Years	Grand Total
GEL Fleet and Compliance	1		1	2		1		5
GEL Grounds Maintenance	30	9	13	10	7	8	2	79
GEL HQ Professional Services	5	1	2	1				9
GEL HWRC	4	3	4	5	1	1	1	19
GEL Street Cleansing	51	23	11	5				90
GEL Waste	72	21	20	10	6	7	3	139
Grand Total	163	57	51	33	14	17	6	341

4. GEL – Religious Beliefs

46% of the workforce have identified themselves as Christian (unchanged), 8.5% have either declined to specify or data has not been collected (from 15.5% in previous report). These figures may be consistent with the majority of GEL staff declaring themselves to be white, although we cannot be sure. In any event, whilst difficult to draw any meaningful conclusions from this, we are aware of our responsibilities under the Equality Act, and will continue to appoint and promote candidates irrespective of religious belief.

GEL - Workforce Profile – Equality and Monitoring Report



5. GEL – Disability

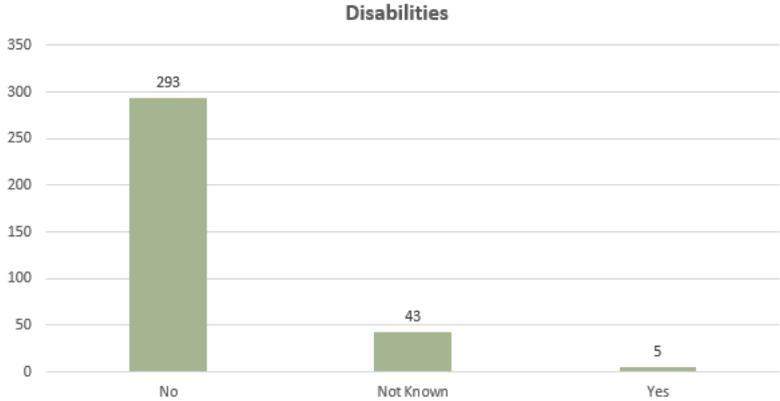
As of 1 September 2021, only 5 employees (1.5% - up from 1.2% last time) have declared themselves as having a disability. This compares with 6.6% from the Census data, who declare themselves to be economically active.

As before, the actual figure for GEL may or may not be higher, as 12.6% of employees have either not responded or not declared.

The relatively low numbers of employees declaring a disability is possibly explained by the lack of occupational diversity in GEL (as compared with LBE for example) and the physical nature attendant to many of our roles. It may just be down to the fact that some people choose to withhold information regarding a disability, for other reasons, known only to themselves.

We are aware, nevertheless, of our obligations under the Equality Act, and have taken steps to make “reasonable adjustments” to enable employees to continue to work. During the past year, we have supported a number of LTS employees who may be classified as having a “disability” under the terms of the Equality Act, to return to work through phased returns, reduced hours and alternative duties. We are keen to continue this support wherever necessary even after the return.

GEL - Workforce Profile – Equality and Monitoring Report



6. GEL - Female Employees of GEL

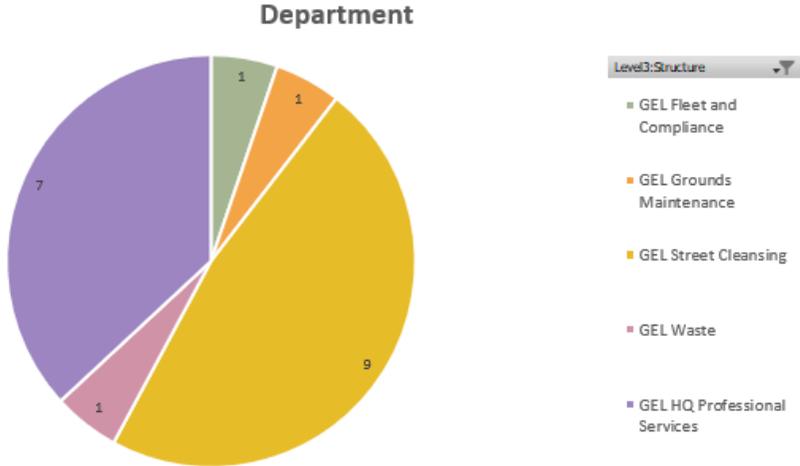
GEL employs 19 females from a total workforce of 341 (5.6%).

8 are employed in white-collar roles; 9 in Street Cleansing; 1 in Grounds Maintenance; and 1 (HGV driver) in Waste Collections.

Given our equality objective ii) - seeking more female HVGs - and considering that Grounds Maintenance and Street Cleansing roles would appear to more easily lend themselves to flexible working, it appears that females in front line roles may be more likely to opt to work in Street Cleansing or Grounds Maintenance.

With this in mind, we will continue to explore all opportunities to achieve objective iii) - increase number of females generally - and hope that we can persuade some females to take on the HGV route through apprenticeships and through direct recruitment/S106.

GEL - Workforce Profile – Equality and Monitoring Report



7. GEL – Office Based Roles - Male and Female Split

The data from office-based roles (including Supervisors, Operations Managers and Professional Services) is largely unchanged from the last report.

Of the 8 females employed in white collar roles, 4 are in senior white collar/management roles. However, there are no females employed as either Operational Manager or Supervisor.

All of the women employed within white collar roles (8 of 19 females) have provided their self-classification data.

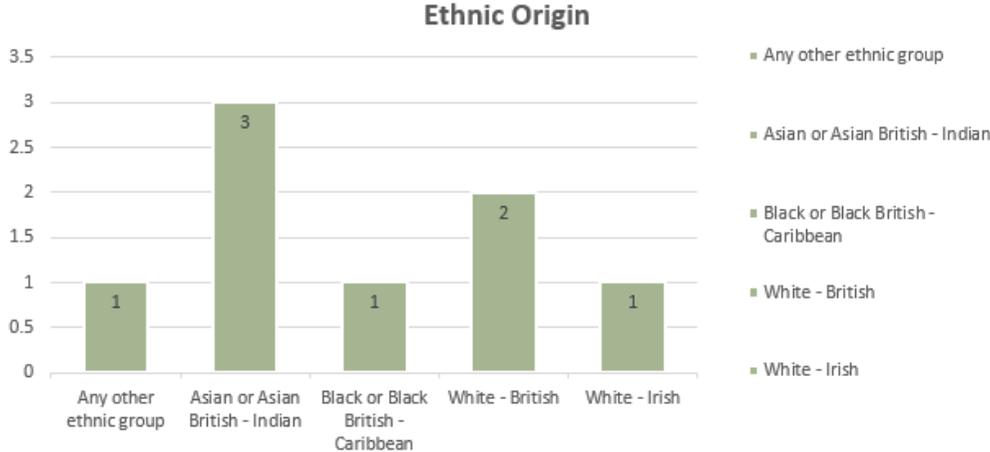
GEL - Workforce Profile – Equality and Monitoring Report



GEL - Workforce Profile – Equality and Monitoring Report

8. GEL – Females in White Collar by Ethnicity

Of the 8 females employed in white collar roles (up from 7) 4 are white British/Irish/other (4) and 4 are non-white (3).



The data suggests that although few in numbers overall, females are well represented within the white-collar and management roles at GEL. Moreover, ethnic origin seems to be diverse within these roles.

However, we acknowledge that females are not represented at all at Supervisor and Operation Management level and we will continue to seek opportunities to attract more females overall and offer development pathways wherever possible, to address this imbalance.

9. Conclusion

This is GEL's second Equality and Monitoring report and builds on our earlier report Feb 2021. In summary, it shows that:

- The disparity of male and female employees persists, albeit that we seem to be making some progress in attracting more females;
- It acknowledges the ageing workforce and suggests that this is likely to continue for some time, given the prevailing employment conditions and the lack of turnover;
- It notes that there is a mix of ethnicities across the GEL workforce, including at senior level.

We will continue to analyse equalities data and will review recruitment processes to establish how we can more effectively attract a diverse range of applicants.

We will report progress as required.

Workforce equalities and monitoring - Female operatives focus group

Introduction

The GEL “workforce profile – equality and monitoring report” was considered by the board in February 2021, where it was noted that just 5% of GEL’s workforce was female.

When compared to the communities we serve, females are underrepresented within GEL. We were aware the waste industry does not tend to attract female candidates, so increasing their numbers would be a challenge for the company.

One of the measurable equality objectives was to *increase the number of female workers across the workforce – particularly to try to increase the number of female HGV drivers.*

In support of this objective a baseline assessment was undertaken to ascertain the views of the existing frontline female workforce.

This report details those discussions and makes recommendations on what GEL could do to improve and sustain the working life of its frontline female operatives.

Context

Confidential face to face discussions were held in May 2021 with a focus group of ten frontline female operatives - including directly employed GEL employees and agency workers - where they were asked for their views about working for GEL: the pros and cons of their working environment and working pattern.

Specific points of note

The overall feedback was very positive, with every female operative agreeing that they would recommend working at GEL to a female friend or family member. They also indicated a willingness to support GEL’s promotion of women in the workplace. The group was unable to suggest any additional ways GEL can make the workplace more attractive to women.

Positive feedback

- Pay rates are attractive and commercially competitive when compared to other sectors (including hospitality) and area.
- Working hours were attractive, giving a good work - life balance, particularly the early start which allowed an early afternoon finish with the rest of the day to themselves.

GEL - Workforce Profile – Equality and Monitoring Report

- Control over their own work – this is an attractive feature of working life within GEL for female operatives and could feature in future recruitment campaigns - particularly for street cleansing and grounds maintenance roles, which do not require women to have to work in a crew and they can manage the pace of work themselves.
- Rewarding – satisfaction of personal achievement when residents acknowledge and compliment hard/good work.
- Every female worker said they would recommend working at GEL to a female friend or family member.
- Every female worker said that would be happy to support a PR campaign to promote female workers at GEL.

Improvements

- PPE – only generic S, M and L sizes are offered to all operatives for PPE.
- Toilets – lack of toilet facilities whilst working.
- A small number of female operatives expressed an interest in becoming supervisors. Currently there is no succession plan in place to encourage wider pool of operatives to be job ready.

Next steps/recommendations

1. The current PPE being offered is not always appropriate for a physical fit to the female form. The HR Advisor has contacted Ops Managers and HSEQ Training Manager to arrange for PPE to be available in women's sizes if preferred. As soon as this issue was highlighted action was taken to address this point.
2. The operations team to contact local businesses/venues across the borough to identify those who would be willing to allow GEL workers to use their toilet facilities - creating a network of free-to-use toilet facilities for all GEL frontline employees.
3. Recognise and promote the contribution of our female operatives by attending local schools to promote the work of GEL in the community and promote GEL as a female-friendly workplace. (with a female operative in attendance as a positive role model for the pupils).
4. Continue to work with our agency to encourage a greater number of female candidates for job vacancies.
5. Pilot a “first steps into supervision programme” to provide a “taster” of being a supervisor. There are currently no female supervisors/ops managers which in part may be due to the small pool of female operative workers. It is recommended that a short programme is introduced

GEL - Workforce Profile – Equality and Monitoring Report

to encourage female frontline operatives to have an insight into the roles and responsibilities of a supervisor/ops managers and develop their skill set to be able to apply for these roles with confidence in the future.

Conclusion

The feedback from the female operatives was generally positive and the 5 recommendations in this report are made to address the areas requiring improvement.

Given that our industry has not traditionally attracted many females, the regularity of work at GEL and job insecurities in other sectors, highlighted during COVID-19 may change the employment market in our favour.

GEL will also continue to consider flexible working arrangements, e.g. splitting hours – e.g. 10 'til 2, or term time only roles.

Report Title	Managing Directors Report		
Meeting	Greener Ealing Board Meeting		
Date	16 th September 2021	Agenda Number	7
Type of Report	For noting		
Author	Kevin O’Leary – olearyk@greenerEaling.co.uk		
Background	<p>This report updates the Board on our overall progress over the last two months and highlights key issues.</p> <p>This has been a busy period with many work streams in progress and some challenging operational problems that the team has had to deal with.</p> <p>We continue to face a difficult operational environment. Despite this we have seen some improvement in performance in key areas from the low points of April, May and June. As reported previously national economic pressures are now being seen locally for GEL with the HGV Driver shortage and now supplier delays increasingly presenting a challenge.</p> <p>A highlight has been the invitation from Gunnersbury Park Community Interest Company to provide a price to undertake their Grounds Maintenance work from 11th September until 8th April 2022. Our price has been accepted and we will provide the services for the period mentioned until a wider procurement process has been undertaken.</p> <p>The Board is asked to note the report.</p>		

Introduction

This report sets out for the Board the key issues that Greener Ealing has been addressing over the last few months. There are also a number of important strategic issues on the horizon that I would like to bring to the Boards attention; some good news in terms of new work from Gunnersbury Park and items of more general day to day interest.

Ealing Council Review

We are approaching an important phase for GEL. The Board will recall that the Ealing Cabinet agreed at its 9th February 2021 meeting, when the GEL Business Plan was approved – to a review, see recommendation 1.2 below.

Ealing Cabinet recommendations

1.1 Agrees the appended Greener Ealing Business Plan for 2021-22 and authorises the Executive Director of Place to agree any changes subsequently required, in particular arising from the council budget approval process.

1.2 Note that £20.930m, inclusive of the agreed allocated growth of £1.294m for the annual contractual amount, gross of £1.137m rent proposed to be charged by the Council. Of the growth amount, £0.147m will be held back until the satisfactory conclusion of a commissioned mid-year review of efficiency and cost containment for the contract.

GEL has now been asked to provide information on absorbed costs and in year efficiencies made to the end of June 2021. We are not yet fully clear how this review will pan out. Overall GEL had a good first year and we anticipate that this will be reflected in the Council's report. We are of course cognisant of the financial pressures the Council is faced with going forward and remain concerned over budget alignment issues between the parties. We will of course co-operate fully with the Councils review.

Services Agreement Review

In tandem with the Councils review I have agreed with Ealing client-side officers that the Services Agreement needs to be reviewed and that the Councils service aspirations and corresponding budget discussions need to be clarified through the agreement. The Board will also recall our concerns over certain aspects of the current arrangements for the annual review of the Services Agreement and whilst we received Ealing Officer assurances over our 21/22 levels of income the process last year was far from ideal. There are several issues that need to be tidied up in terms of the overall agreement that need to be addressed following the Councils review.

Pay Award 2021

We met recently with the GMB. This was a positive meeting and we have agreed to meet again on the 13th September. A verbal update on this meeting will be given to the Board meeting.

Gunnorsbury Park – Grounds Maintenance work

GEL was approached in early summer to see if we were interested in this work. It was previously undertaken by Amey but a market test over a year ago did not include GEL and the contractor appointed has struggled to meet the specification. We have submitted a price for the period September to April 2022. There will be a market test before April 2022. We anticipate ourselves and others will be invited to tender at this

time. The initial work is valued in excess of £100k. We have agreed to commence works on 11th September with a letter of intent from Gunnersbury Park with wider commercial terms as yet not agreed.

HGV Drivers – market pressures

As reported at our last meeting we have had suffered from a shortage of HGV Drivers this peaked in May and led to considerable operational difficulties. To remind the Board the problem stems from a combination of the following which has led to some churn, a pressure on hourly rates and a skill shortage:

- Brexit
- IR35 tax changes to the private sector impacting on pay rates
- The burgeoning home delivery market – demanding Drivers
- A lack of newly qualified HGV Drivers due to no training during the pandemic

As reported previously we have taken a direct approach and advertised and recruited direct to GEL with a number of new appointments. We intend to let the advert run and over recruit as we consider a move away from total reliance on the Agency model.

We have also advertised internally for those interested in training as HGV Drivers. We have 7 staff who will now undertake this training. This will take approximately 3 months and will depend on aptitude. New Drivers may not be ready to drive our 26t Refuse Vehicles on Ealing's narrow streets on day one after their training so this will be a medium to long term project.

As suggested by our Shareholder representative we have engaged with the Councils Regeneration Team to explore the use of Section 106 funding (Planning gain) to develop gateways and training opportunities for local unemployed Ealing residents. This project is moving forward with one candidate already identified.

Collection Route Optimisation Projects

As previously reported, we have sought to implement efficiencies in the collection's teams.

Garden Waste – we have improved performance in the last three months but are still in an unsatisfactory situation as the Ealing IT issues have still not been resolved and we are applying at the clients request a “a clear all” policy at present. In turn this has not allowed us to conclude the initial route optimisation work planned in April.

Communal/Flats Optimisation – I reported last time that there were some communications issues in terms of this work with managing agents etc. This has now been resolved and the route optimisation is working well.

Trade Waste – these rounds are currently being optimised by our consultants. We will need to engage with the Council over implementation and aspirations for Trade Recycling Services. This work has taken longer to progress than anticipate but some

positive news is that these teams are now using the in-cab devices along with other collections teams after a lengthy period of time taken to cleanse the data.

Food Waste Teams – we have 7 Food Teams. The plan now is to absorb new work from food participation behaviour change project and the 400 new communal containers that will be issued over the coming weeks.

Support for LBE Food Waste Behaviour Change Projects

The Council is looking to encourage greater participation with the food waste service. Greener Ealing has been assisting with survey work on the rounds that have been identified by LBE with the lowest participation rates. This work and the delivery of new containers is now completed.

In addition to the above the Council also wants to extend the Food waste service to communal blocks that do not currently receive this service. Approximately 400 new locations have been identified and are to be rolled out over the coming months. GEL will need to absorb these collections within the 7 substantive rounds as they are rolled out.

Other issues

The 2021 **Staff Survey** has just been launched and we will report back in November on the results. This is an important piece of work and will help us to gauge progress on our Workforce Strategy.

The **Blink** communications app continues to grow with now over 170 staff signed up.

We ran an **Art Competition** for local children to design a poster to encourage recycling. The winning designs will appear on the panels of some of our Refuse Collection Vehicles in the autumn.

One of our **Training Facilitators** has resigned which is disappointing as she had made such a positive start. We now need to recruit a replacement.

We have taken on a number of staff under the governments **Kick Start** scheme which provides funding for employers in an effort to get 16–24-year-olds back to work.

Conclusions

Another very busy period with new activities starting and a continuing difficult operating environment. We have managed to get through with most services continuing to deliver as expected.

At a senior level our immediate focus for the next few months needs to be on the financial planning and budget process for 2022/23 and beyond with colleagues from Ealing.

Kevin O’Leary
Interim Managing Director



7th September 2021

Report Title	Combined Performance Report including HSEQ & Transport		
Meeting	Greener Ealing Board Meeting		
Date	16th September 2021	Agenda Number	8
Type of Report	For noting		
Author	Kevin O’Leary – olearyk@greenerealing.co.uk		
Background	<p>This report updates the Board on performance against internal and external KPIs over the last two months and provides commentary.</p> <p>The revised format incorporates information across a broad range of indicators giving a more comprehensive view of the whole business. We still need to establish targets for 21/22 and beyond based on our first year’s performance. We will populate the tables and seek Board approval for these at a future meeting.</p> <p>Provisional targets have been added where appropriate for those indicators which did not previously have targets set; initial views from board members are welcome.</p> <p>We will continue to develop the presentation of the data in order to highlight exceptions or particular issues. The commentary has been condensed where possible with comment primarily by exception. The intention is that the table is the primary information source.</p> <p>As noted elsewhere, July and August have been busy with various work streams in progress and a continuation of challenging operational problems from the previous period that the team is still dealing with.</p> <p>The Board is asked to note the report.</p>		

GEL Combined Monthly Performance Report August 2021

August Performance - Operations

This report covers data from April to August, and commentary on the overall August performance of GEL including the HWRC sites at Greenford and Acton.

GEL continue to follow government guidelines as Covid-19 restrictions have been relaxed.

Overall performance has still been below GEL’s normal level on Collections and Parks in August, with some specific issues. Where the issues are the same as previously, the commentary reflects this. Details are addressed in individual service commentaries.

The underlying issues causing the performance dips continued in August but show signs of recovery in September. On the Collections front, the national HGV driver shortage (see details in the Collections commentary) will not abate for the foreseeable future; GEL measures to deal with this will take time to have effect. In the Parks, where grass cutting has been significantly affected (again see GM Commentary for details) it is anticipated that it will take all of September before it is back within specification.

Collections – Commentary

- As previously reported, the national shortage of HGV Drivers remains the key cause of service delivery challenges. In addition there has been Covid related impact with key staff needing to isolate. GEL continue to work on longer term solutions including training existing staff to become drivers, and incentivising staff to promote the recruitment of drivers externally.
- Good news on the majority of collection services where missed collections across refuse, recycling and food collections were within target for the entire period; and bulky waste collections are significantly improved.
- Garden Waste performance continues to be challenging with IT issues preventing efficient service delivery. The dedicated supervisor has improved the service quality which is starting to return to the required level.
- Missed Assisted are still disappointing, a knock-on result of the driver shortage. There is focus on improving this.

Street Cleansing - Commentary

- First time A+B performance for August was c.68% - this is a direct result of the service supporting the prioritised collections service.

HWRC - Commentary

- August is the peak month for visitors.
- August recycling rate up to 58%.
- Procurement of site plant/machinery for the next period is in the final stage.

GM & Cemeteries - Commentary

- Joint inspection of parks – a low score of 34% in July reflecting the difficulty of grass cutting in the exceptional weather this season. The combination of wet and warm weather has meant we have not been able to cut, and the grass has grown at great speed. This is a London wide problem. Inspection results are not available for August.
- There have been no joint inspections of cemeteries since April.

Complaints

- The complaints for August are low at 48 for the month. This reflects the work done to maintain standards where possible.

August Internal KPIs

- Internal KPIs are reasonably consistent with three points to note.
- Significant reduction in vehicle idling time as a result of work with drivers and GPL.

- Sickness is higher with Covid playing a part.
- Staff turnover is also higher, reflecting the competition for drivers across the industry.

August Performance – HSEQ & Transport Support Services

HSEQ

- GEL remains aligned to Government and WISH guidance regarding Covid.
- Revised documentation is completed for the planned full refresh of training induction for all staff.
- Internal training provision is progressing including liaison with LBE on all possible routes to train HGV drivers.
- Alcumus HSEQ system is developing with remote access to the BLINK platform, including the new function of daily crew inspections, which has been well received by the operations teams.
- An area of concern is the Greenford Transfer Station where GEL have outlined to LBE three issues.
 1. Degradation of the transfer station floor which is breaking up and exposing the substructure reinforcing framework causing trip hazards and possible fire risk from metal on metal sparks.
 2. Recent Environment Agency visit and subsequent report indicates that the present overspill area adjacent to the transfer station is not to be used as a pre-sort area due to lack of roof.
 3. Degradation of the sides of the existing transfer station and 'debris catch' fencing are contributing to significant amount of recyclate material being blown into operational parking area and the environs adjacent to the transfer station.
- Discussions are ongoing between GEL, LBE, and West London Waste Authority (WLWA) to look at interim and longer term solutions for the transfer station operation.
- GEL has advised LBE that it may become necessary to suspend operation of the transfer station completely.

Transport

- Transport Provision for vehicle and maintenance services has been relatively consistent and in-line with operation requirement during the last period. Accident and incidents have shown no significant increase in the period.
- Consistent management of depot related vehicle idling instances, which now are supported by the enhanced information derived from the vehicle telematic systems, has seen a demonstratable reduction in Co2 output and associated cost of operations.
- Driver behaviour in relation to harsh braking, acceleration, cornering, and speeding events has been well managed by both Transport and Operations teams.
- The team have been working with Operations to retain and recruit HGV drivers and upskill existing staff to train as HGV drivers.
- Vehicle maintenance provision from GPLFS has been generally good within the period, however recently we are seeing longer than expected lead times for provision of spare parts attributed primarily to Brexit issues rather than specific Covid related interruption of manufacture. This has increased marginally the number of VOR days, but not yet significantly affected overall vehicle/plant availability for operations.
- GEL are engaged with LBE on the provision of electric vehicle charging points in the depot.
- Given the uncertainty of charging infrastructure GEL at this stage have not committed to ordering any electric powered item with the exception of an all-electric materials handler for the Greenford HWRC site, which will be due in service in first quarter 2022.
- Fossil Fuel supply has been consistent with no issues, albeit with week on week increases in cost per litre which has appeared to have stabilised over the past few weeks.
- The possible impact upon operations with expansion of the Greater London ULEZ area in October 2021 is being reviewed, and although the GEL fleet is fully compliant from an emissions perspective there may be some issues with vehicles being used by staff in their home to work travel arrangements.

GEL - Overall Dashboard

Indicator	Target	Apr-21	May-21	Jun-21	Jul-21	Aug-21
Missed Rectification %	100% within 24 Hours	100%	100%	99%	100%	99%
Right First Time %	-	99.97%	99.95%	99.91%	99.95%	99.95%
Assisted Missed Collections	Zero	6	10	27	10	18
Missed per 100k by Service						
<i>Refuse</i>	< 100	24	48	77	48	38
<i>Recycling</i>	< 100	32	40	60	37	31
<i>Food</i>	< 100	29	34	60	67	72
<i>Garden</i>	< 100	184	580	1092	300	274
Streets A&B Inspection %	85%	90.70%	92.92%	82.18%	85.62%	68.01%
Flytip Clearance	95%	99%	98%	99%	99%	97%
Flytips Reported	-	995	937	1203	1146	1127
Bulky Waste Service	100%	99%	94%	79%	100%	99%
No of Container Requests	-	1557	1380	1962	1713	1858
Container Delivery %	100%	98%	99%	96%	100%*	99%
Parks Quality	95%	84.36%	57.28%	50.00%	31.43%	
Cemeteries Inspections	95%	87.50%				
HWRC Materials Recovered	-	308t	327t	366t	396t	429t
HWRC Visit Numbers	-	8635	8213	9732	12025	14178
HWRC Recycling Rate %	per contract	50.57%	54.76%	54.92%	58.24%	58.78%
Customer Complaints	<100	52	102	146	110	48
RIDDORs	0	0	0	0	0	0
No Lost Time Incidents	0	1	1	2	2	0
Lost Time Incidents	0	1	0	0	1	0
Close Calls	-	6	2	44	24	9
Vehicle Incidents	<7	4	9	15	4	3
VOR (Daily Average)	<5	4.75	4.25	4.31	4.52	5.56
Fuel – DERV (Litres)	-	44,677	42,078	58,778	59,745	57,170
Fuel – Gas Oil (“red” litres)	-	4898	4267	5138	5640	4030
CO2 – kg	-	117,052	110,244	156,796	159,376	152,507
Total Vehicle Idling Time (hrs)	<100	653	516	160	110	123
Vehicle Availability	95%	100%	100%	100%	100%	100%
MOT Pass Rate	98%	100%	100%	99%	100%	100%
Average Sickness %	3%	5.60%	4.09%	6.31%	6.05%	5.95%
ER Cases	1	3	1	1	2	1
Staff Turnover	1	2	2	3	4	6
YTD Actual	-	£26,515	£34,377	£35,571	£98,342	TBC
FY Forecast	-	£84,081	£84,401	£84,231	£84,231	TBC
Additional Revenue	-	£32,031	£62,127	£58,471	£59,291	TBC



Report Title	GEL Risk Management – Risk Register		
Meeting	Greener Ealing Board Meeting		
Date	16 September 2021	Agenda Number	9
Type of Report	For Approval and comment		
Author	Katarina Pohancenikova		
Background	<p>The key objective of this paper is to establish and maintain a robust approach to identification and understanding of risks the company is facing. The GEL Board and senior management are committed to maintain the long-term health of the company in terms of quality-of-service provision, achievement of objectives, financial stability and management of resources. The Company aims to control and mitigate risks through the adoption of suitable system to identify, assess and manage level of risk that can be born without serious permanent damage to the Company.</p> <p>At the Board’s request this report looks in more detail at the currently identified risks and control measures in place and considers improvements taking into consideration first year of company full operations.</p>		

GEL risk appetite has been set as follows:

Our risk appetite at its highest level is determined by the Board. It is influenced by the actions we are or are not prepared to take in furthering our business goals.

The most significant judgements affect our assessment of return for the risk we take in investing in customer service, our efficiency strategy and our obligations under our core contract, regulation and legislation and our financial stability.

We have a low-level appetite for risk which would impact our record on regulatory compliance, health and safety record and reputational damage for GEL or the Council.

We have a higher level of appetite for opportunities and growth subject to the scope, fit with our business objects, our expertise, the value of the work and location.

We regularly monitor our effectiveness in managing risk through key indicators to ensure we remain within the appetite levels determined by the Board.

This ensures that our exposure to particular risk is informed by changes in the external environment, taking swift and appropriate action to maintain an overall approach which does not adversely affect our ability to deliver our vision.

A risk is an event, and if crystallises, it could adversely impact the work of the company. It may be a one-off event or a repeated event. Risks and mitigation measures are compiled in our risk register. By setting control measures, the risks are being monitored and reported on a regular basis.

As the time progresses and the company completed its first full year of operation, the Board and management have a better view of the risks. Based on current knowledge and market situation, we would like to present to the Board this report and suggest adding new risks.

Following risks and mitigation measures were agreed at the start of the company going operational:

Business continuity - Increased agency staff usage beyond normal levels

The risk is monitored on a monthly basis by producing agency spend report by operational services and reviewing sickness absence data.

Financial management performance - Excess use of overtime (beyond normal levels)

The risk is reviewed on a weekly basis by producing service trackers by reason type and hours used.

Budgetary management and control - Budget misalignment

GEL Finance team investigate and point out on any budget misalignment between GEL activities and LBE provisions.

Recruitment and Retention - Brexit workforce impact

The right to work requirements for EU citizens after Brexit and confirmation of EU settlement status are reviewed on a regular basis.

Budgetary management and control - Brexit impact on Fleet

The risk is reviewed by monitoring the market situation, impact on supply chain and ensuring the business deals with potential issues in advance and have contingency plan in place.

Financial losses - Insurance claims

This is a specific risk in relation to training and health and safety compliance. The company need to ensure that staff operate in such a way as to reduce the likelihood of insurance claims against GEL.

This risk also covers additional Fire and Flood risk review being included as part Zurich renewal quote.

Loss or damage of assets - Wear and tear costs to fleet

Monthly monitoring report to identify areas/vehicles, number of vehicles is prepared and presented to the senior management team. Any defects are reported by company maintenance provider - GoPlant.

We have also introduced a training and induct for drivers to reduce likelihood of irresponsible vehicle usage resulting in wear and tear. This includes ensuring only those trained to operate vehicles.

In addition to above, weekly report monitoring drive behaviour linked to the Telematics software is being produced.

Budgetary management and control - Increased cost of fuel

The risk is monitored by monthly fuel spend report, reviewed by service delivery, performance/efficiency and making changes as appropriate in light of increased fuel costs. Carbon reduction measures being undertaken, including review of operational mileage and excessive vehicle idling

Budgetary management and control - Sickness absence resulting in various and significant operational and financial continuity issues

Monthly sickness monitoring by operational/business area and time of year is prepared and reviewed.

We also ensure that any compliance with relevant government regulations and guidance concerning COVID-19 are followed.

Budgetary management and control - Inclement weather or other environmental/health disaster

Contingency planning to mitigate the impact financially and reputationally from inclement weather affecting service delivery is in place.

Recruitment of HGV Drivers - Inability of agency providers and/or GEL to recruit and retain HGV Drivers - leading to service disruption

To eliminate this risk we seek to recruit GEL Drivers directly from the open market; reduce dependency on agency for this type of employee; establish a pool of (No) HGV Drivers from: 1. External Recruitment, 2. Internal training of existing GEL staff, 3. Consider employment benefit package for HGV Drivers.

We believe that robust controls and measures are in place given the risks the company is facing. By identifying the main risks and mitigating the impact, the company is ensuring that it can carry on its operation and deliver the service it has agreed to provide with no major disruptions.



While reviewing the company risk register and going through individual risks, we have identified potential additional risks that might have an impact on the GEL's future financial and operational stability. Whilst these risks have been discussed by management, they have not yet been included on the Risk Register. The Board is invited to comment on their inclusion:

➤ **Stakeholder funding reduction**

This risk can be mitigated by establishing regular communication channels with the stakeholder. The company should also start looking at the potential investment opportunities outside of the main stakeholder requirements. This has been in part recognised in our communications and marketing strategy.

➤ **Non-compliance with H&S**

GEL has its in house H&S team that is experienced in providing guidance and advice across the business. We manage this carefully but inclusion on the Risk Register may be advisable.

➤ **Risk of major service failure / reputation damage**

The risk is currently mitigated through our Business Continuity Plan but again wider oversight by the Board may be advisable.

➤ **Data breach / fraud**

Regular training, ensuring everyone understands importance of data protection compliance.

➤ **Loss of Senior Staff/Board Directors**

We are a small business with a lean management structure. Retaining or planning for change is an important activity. Whilst this may not at first glance look like a major risk, it is an issue worthy of wider consideration by the Board.

We would like to ask the Board to consider for inclusion the above additional risks.

Report Title	Finance Update – September 2021		
Meeting	Greener Ealing Board Meeting		
Date	16 September 2021	Agenda Number	10
Type of Report	For Approval		
Author	Katarina Pohancenikova		
Background	<p>Executive Summary This report notes:</p> <ol style="list-style-type: none"> 1. Month End Greener Ealing draft net surplus shows a positive variance of (£202k). 2. Outstanding Finance Issues The unresolved finance issues with the Council are: Start-up costs treatment, Financial Accounts for year ending 30th June 2020, premises lease agreement. 3. Loan Finance Debenture agreement has been signed and registered with Companies House. 4. Bank Update Company credit card spend. <p>Recommendations:</p> <p>To note the overall draft financial position to 31st July 2021.</p>		

1. Month End
Greener Ealing Ltd
Statement of Comprehensive Income (£'k)

	July YTD			Full Year		
	Actual	Budget	Var	Forecast	Budget	Var
Net Service Income	(7,322)	(7,277)	(45)	(21,773)	(21,773)	-
Other income	(126)	(96)	(30)	(287)	(287)	-
Turnover	(7,448)	(7,373)	(75)	(22,059)	(22,059)	-
Total staffing costs	4,904	4,873	32	14,150	14,150	-
Other Direct Costs	172	136	36	547	547	-
Depreciation & Amortisation	96	79	16	238	238	-
Vehicle Costs	1,395	1,558	(163)	4,684	4,684	-
Plant Costs	137	130	6	403	403	-
Property Costs	392	393	(1)	1,187	1,187	-
Communications	2	-	2	-	-	-
ICT Costs	91	63	28	188	188	-
Service Recharges	16	73	(57)	224	224	-
Professional Fees	144	99	45	324	324	-
Operating costs	2,445	2,532	(87)	7,797	7,797	-
OPERATING DEFICIT/(SURPLUS)	(99)	32	(131)	(112)	(112)	-
Net funding costs	1	72	(71)	197	197	-
NET DEFICIT/(SURPLUS) BEFORE TAX	(98)	104	(202)	84	84	-

The overall draft financial position to 31st July 2021 is a surplus of (£98k) against a budgeted loss of £104k. Key variances relate to:

- Turnover favourable variance of (£75k) as a result of non-contractual work provided: (£26k) streets cleansing; (£25k) pass through costs; (£22k) trade waste; (£9k) salary recharge; (£5k) Kickstart funding; £12k grounds maintenance
- Staffing costs adverse variance of £32k due to (£31k) staffing costs rebase; (£10k) life insurance; (£4k) Apprenticeship; £9k Union costs; £12k re-allocating subcontractor costs; £20k PPE; £36k additional non-contractual work
- Operating costs positive variance of (£87k)
 - (£157k) Vehicle and plant saving on insurance; fuel; repairs & maintenance and hire costs
 - (£57k) Service recharges & business rates not required
 - £16k Depreciation & Amortisation
 - £30k ICT and Communications due to additional H&S software reporting requirements and licences; in cab device repairs
 - £36k Other Direct Costs for grounds subcontractors; streets survey; bags and bin repairs
 - £45k Professional fees include additional consultancy fees; publications; subscription offset by savings on training

- Funding costs positive variance of (£71k) as a result of no loan being drawn down in 2021-22 financial year

2. Outstanding issues

GEL management is in a discussion with the Council representatives to resolve the outstanding issues and agree on costs recoverability. The below summarises outstanding areas with the potential impact on GEL financial results:

- Start-up costs treatment
 - Revenue start-up costs – on-going discussion on accounting treatment of these costs.
 - Capital start-up costs – submitted capital spend of £1,053k being reviewed by the Council. The Council has decided to charge capital start-up costs to GEL with GEL using fixed capital loan facility to finance these costs.

- Company financial results for year ending 30th June 2020

The delay in finalising GEL 19/20 accounts is due to the treatment of £736k start-up costs which were approved by the Council to be treated as revenue costs. Deloitte concluded that majority of the costs appear to be in a relation to the company set up costs or non-contract specific costs that are not revenue in nature and wishes to treat the costs as capital equity. There is a risk that the proposed treatment could result in a breach of state aid rules.

GEL has been liaising with the company external legal advisors – Anthony Collins to advise on the state aid issues. Anthony Collins suggested to contact Department for Business, Energy and Industry Strategy (BEIS) but were told that BEIS will not advise on this matter to solicitors or private firms.

Following a constructive meeting with the legal advisors there appears to be a mechanism by which GEL will be able to finalise 19/20 accounts and auditors will be satisfied to sign the accounts. We will provide further update to the Board as soon as available.

As a result of the delay, GEL has missed the company accounts filing deadline – 30th June 2020 and will keep incurring late filing fees:

Length of period (measured from the date the accounts are due)	Penalty for a private company or LLP
Not more than 1 month	£150
More than 1 month but not more than 3 months	£375
More than 3 months but not more than 6 months	£750
More than 6 months	£1,500



In additions to the above fees, GEL also incurs penalty for late submission of company Corporation tax return:

Time after your deadline	Penalty
1 day	£100
3 months	Another £100
6 months	HM Revenue and Customs (HMRC) will estimate your Corporation Tax bill and add a penalty of 10% the unpaid tax
12 months	Another 10% of any unpaid tax

- The rent and service charges for 2021-22 have been estimated at £1.2m with no further progress on finalising the lease agreement. The Managing Director has written on a number of occasions to the Ealing Property Team with no substantive response. We have learnt that matters related to the Perceval House decant and the impacts on Greenford Depot remain at the heart of the delay. We would be concerned if there is a suggestion of a reduction to the GEL demise given the space pressures we are under.

3. Loan Finance

The Debenture agreement has been signed and registered at Companies House. GEL current cash position is stable, and we have not drawn down on any of the loan facilities.

4. Bank Update

GEL Company credit card spend for June and July 2021:

Expense Type	£	Comments
DVLA Vehicle tax	23,117	Annual vehicle tax
ISO Toolkit	2,086	ISO integrated documentation toolkit
Other Expense	1,222	Stationery, postage, materials, vouchers
Away Day	1,090	GEL Away day
Furniture	968	Lockers for GM office
PCN Fines	920	Penalty charge notice
European Metal Recycling Ltd	342	Commercial fridges removal
Transport for London	30	Street Operatives Oyster cards + top up
	29,774	

Report Title	Amendments to GEL Financial Regulations		
Meeting	Greener Ealing Board Meeting		
Date	September 2021	Agenda Number	11
Type of Report	For Approval		
Author	Katarina Pohancenikova can be contacted on pohancenikovak@greenerrealting.co.uk		
Background	<p>This report is suggesting some changes to the Financial Regulations to align the regulations with Scheme of Delegations</p> <p>Summary of changes:</p> <ul style="list-style-type: none"> - Clarification of wording on purchase orders and bank accounts - Splitting of the loan delegation into “Loans from outside of the Group” and “Loans from LBE” - Adding delegation for CHAPs and Faster Payments. Limited to payments to: Government departments; LBE, employees where requested by payroll; and one-off suppliers without POs. - Clarification of CHAPs and Faster Payments approval process - Amendment to include Head of Finance or Managing Director, where the current authorisation is from the Head of Finance only - Addition of Head of Finance to Credit card use approval - Addition of “Head of Compliance” as an alternative authoriser in the absence of the Head of Finance or the Managing Director <p>The Board is asked to approve the changes to the Financial Regulations.</p>		

Greener Ealing Ltd
Financial Regulations

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1. Introduction

- 1.1. The purpose of these Financial Regulations is to define the principal policies and procedures that must be followed by all staff/consultants when dealing with Greener Ealing's financial affairs.
- 1.2. These Regulations were approved by the Board on 22nd October 2020 and will be reviewed at least every two years. The absence of such a formal review will not, however, cause these Regulations to lapse.
- 1.3. The Managing Director shall be responsible for ensuring that these Regulations are adhered to by all members of staff including Directors within Greener Ealing and any consultants working on behalf of Greener Ealing. Failure to comply with these Regulations may lead to disciplinary action being taken against the employee, Director or consultant concerned.
- 1.4. A copy of these regulations will be made available to staff and consultants and it is each individual's responsibility to ensure that they have read and understood them. It is the responsibility of the Managing Director to advise all other Directors that the Regulations have been updated and are available. It is the responsibility of Managing Director to ensure that members of staff and consultants are provided with access to the latest version of these Regulations and that they are aware of the implications for their work.

2. Abbreviations/Definitions

- 2.1. "Board" means the Board of Directors of Greener Ealing Ltd.
- 2.2. "SMT" means the Senior Management Team consisting of the Managing Director, Head of Finance, Senior Managers and other individuals where appropriate.
- 2.3. "Council" means Ealing Borough Council.
- 2.4. "Director of the Company" means a statutory director of Greener Ealing Ltd.
- 2.5. "Company Secretary" means the company secretary of the Company as appointed by the Board.
- 2.6. "Finance Team" means the Finance Team of Greener Ealing Ltd.
- 2.7. "Council Finance Department" means Council Finance Department Team
- 2.8. "Internal Auditor" means the internal auditor of the Council which has agreed to provide Greener Ealing with an internal audit service.
- 2.9. "Managing Director" means the person appointed who is responsible for the day to day running of the business.

3. Financial Control

- 3.1. The Board of Directors has the ultimate responsibility for Greener Ealing's resources.

4. Responsibilities

4.1. Managing Director

- 4.1.1. The Managing Director is responsible for the operational management of Greener Ealing's business. The Managing Director will assist the Board in

determining its strategic objectives and promote the achievement of such objectives through the effective deployment of Greener Ealing's resources.

4.2. The Finance Team

4.2.1. The Finance Team is responsible to the Board for the administration and control of the finances of the Company and other support functions. Responsibilities include:

- Assisting in long-term planning
- Presenting management accounts to the Board on a timely basis
- Maintaining an efficient system of operations and controls
- Preparing the annual accounts, liaising with Greener Ealing's auditors in respect of the year-end audit and arranging the final presentation of such accounts to the Annual General Meeting
- Monitoring the day to day running of Greener Ealing's finances
- Ensuring compliance with the requirements of regulating authorities
- Safeguarding the assets of Greener Ealing
- Reviewing the Financial Regulations as necessary from time to time but at least every two years
- Maintaining statutory records other than those maintained by the Company Secretary
- IT systems and equipment

4.3. The Finance Team reports to the Board on the level of resources proposed to be utilised in each financial year and keeps the Board regularly informed on Greener Ealing's finances and financial performance.

5. Business Planning, Budgets and Management Accounting

5.1. Business Planning

5.1.1. It is the responsibility of the Managing Director and Finance Team to ensure that a 5 - year Business Plan is prepared for Greener Ealing. The Business Plan will include the financial forecasts and plan for Greener Ealing's operations for at least five years and will be agreed by the Council in addition to the funding prospectus.

5.1.2. Following approval of the 5-year plan it is the responsibility of the Managing Director and Finance Team to ensure that the 5-year plan is updated on an annual basis to include annual KPIs for quarterly monitoring. The annual Business Plan should be reported to the quarter one Board meeting for approval.

5.2. Budgets

5.2.1. The Finance Team is responsible for preparing the Annual Budget for Greener Ealing.

5.2.2. The budget is to be prepared in a form agreed by the Board and is to be in line with the objectives of Greener Ealing and its Business Plan.

- 5.2.3. The annual budget should be presented to the Board at a Board meeting held during the last quarter of the year and the Board should approve the main underlying working assumptions for setting the following year's budget. These should include the level of profit/loss, the inflation rate, borrowing rates, salary increases, rent increases and the level of development activity.
- 5.2.4. Once approved, the budget is to be used as the basis for authority to incur expenditure in accordance with the Expenditure Authorisation limits (Appendix 1) and other approved procedures.
- 5.3. The inclusion of items in approved revenue estimates shall constitute authority to incur such expenditure in accordance with the Expenditure Authorisation Limits and other approved procedures, save to the extent to which the Board shall have placed a reservation on any such item or items. Expenditure on any such reserved items may be incurred only when and to the extent that such reservation has been removed.

5.4. **Accounts**

- 5.4.1. The Finance Team will ensure that the Board is presented with management accounting information on a monthly basis.
- 5.5. All reports to the Board, other than those for information only, will have a section on financial implications, and if there are none, state the fact. Where the paper identifies that there will be an implication for the finances of Greener Ealing, the Finance Team will be asked to provide comments for inclusion in the report. These comments will include, inter alia, the anticipated cost in the financial year under review and the anticipated cost for a full financial year. Where there will be a substantial long-term commitment, the effect on Greener Ealing's longer-term forecasts will also be identified.

6. **Accounting Policies**

- 6.1. All accounting procedures and records of Greener Ealing and its staff shall be determined by the Finance Team in accordance with requirements of statutory agencies and regulatory authorities or otherwise in accordance with good accounting practice and on the advice of the external and internal auditors.
- 6.2. Greener Ealing's financial statements will be prepared in accordance with International Accounting Standard (IAS).
- 6.3. All accounts and accounting records of Greener Ealing shall be compiled under the supervision of the Finance Team.
- 6.4. Records to be kept and the format thereof will be determined by the Finance Team from time to time but would normally include the nominal, rent control account, sales and purchase ledgers, payroll records, cashbook, fixed asset register, contracts register and loan register. By law Greener Ealing is required to retain the following documents:
- o Accounts raised (six years)
 - o Invoices and Receipts (six years)
 - o Payroll records (six years)
 - o VAT records (six years)

7. Audit

- 7.1. Preparation of annual accounts is to commence within one month of the financial year end each year and draft accounts (together with lead schedules) are to be prepared for the auditors by the time the audit commences.
- 7.2. A timetable is to be agreed with the auditors and every effort should be made to keep to the schedule.
- 7.3. Draft accounts are to be submitted to the Board for approval and signing at the meeting three to four months after the financial year-end and adopted at the Annual General Meeting
- 7.4. Final audited and signed accounts should be submitted to Companies House within nine months of the financial year end.

7.5. Internal audit

- 7.5.1. An internal audit should be arranged on a regular basis, which will usually be annually, to carry out an examination of accounting, financial and other operations of Greener Ealing. The Internal Auditor reports directly to the Managing Director, Finance Team and Board.
- 7.5.2. The main responsibility of internal audit is to provide the Board with assurance on the adequacy of the internal control systems, the risk management framework and compliance with internal and external regulations.
- 7.5.3. The Internal Auditor and his/her authorised representative shall have authority to:
 - Enter at all reasonable times any Greener Ealing premises or land
 - Inspect all records, documents and correspondence relating to any financial and other transactions of Greener Ealing
 - Require and receive such explanations as are necessary concerning any matter under examination
 - Require any employee or consultant working on behalf of Greener Ealing to produce cash, or any other Greener Ealing property under his/her control.
- 7.6. Whenever any matter arises which involves, or is thought to involve, irregularities concerning cash, or other property of Greener Ealing or any suspected irregularity in the exercise of the functions of Greener Ealing, the officer concerned shall forthwith notify the Finance Team or Director of the Company who shall take such steps as he/she considers necessary by way of investigation and report. There is a specific procedure relating to whistle blowing and fraud.

7.7. External Audit

- 7.7.1. The primary role of external audit is to report on Greener Ealing's financial statements, and to carry out such examination of the statements and underlying records and control systems as are necessary to reach their opinion on the statements and to report on the appropriate use of funds. Their duties will be in accordance with advice set out in the Code of Audit Practice and Auditing Practices Board's auditing standards.

- 7.7.2. Each year the Board will review the effectiveness of external audit and determine if value for money is being provided and whether the external audit is independent and effective and make decisions regarding their re-appointment.
- 7.7.3. The Board will carry out a comprehensive review of the service together with a competitive tendering exercise at least every three years.

8. Income and Write Offs

8.1. General

- 8.1.1. The collection of all money due to Greener Ealing shall be under the supervision of the Finance Team.
- 8.1.2. All employees and consultants working on behalf of Greener Ealing shall provide the Finance Team with such particulars in connection with work done, goods supplied or services rendered and of all other amounts due as may be required by him/her to record correctly all sums due to Greener Ealing and to ensure that invoices are rendered for the recovery of income due.
- 8.1.3. The Finance Team shall be notified promptly of all money due to Greener Ealing and of contracts, leases and other agreements and arrangements entered into which involve the receipt of money by Greener Ealing.
- 8.1.4. All receipt forms, books, tickets and other such items shall be ordered and supplied by the Finance Team who will also specify the arrangements for their control.

8.2. Cash Receipts

- 8.2.1. All income of more than £250 received by any officer on behalf of Greener Ealing shall immediately be passed to the Finance Team who will ensure these sums are banked, wherever possible on the day of receipt. All income not banked on the day of receipt must be banked by the end of the following working day.
- 8.2.2. No deduction may be made from such money except to the extent that the Finance Team may specifically authorise. Each officer who so banks money shall enter on the paying-in slip a reference to the related debt.
- 8.3. Gifts & Hospitality shall only be accepted in accordance with the Code of Conduct and all instances recorded in line with that policy.

8.4. Rents and Service charges

- 8.4.1. The policy for determining the rent for different property types and/or categories of tenant must be approved by the Board. The Managing Director has overall responsibility for the operation of the policy.
- 8.4.2. The level of any general increase in rents to be charged under the agreed policy will be determined by the Board in accordance with market trends. The Managing Director has overall responsibility for implementing any agreed general increase in rent levels.
- 8.4.3. The policy for the calculation and collection of any service charges will be agreed by the Board and the actual charge to be recovered from individual

tenants will be determined by the Managing Director and included in the level of rent payable by that tenant (and not as a separate service charge). The Managing Director will be responsible for distributing the service charge element of the rent to the Council or any external management companies as required.

8.5. Write off of Arrears and Debts

8.6. Greener Ealing will write off all established bad debts as soon as possible in order not to distort the current rent and service charges arrears and other bad debts position. Consideration should be given as to whether or not the present abode of ex-tenants in arrears is known to establish whether the doubtful debts are collectable or not.

8.7. The prior approval of the Board is required to write off rental income debts. Certain procedures must be exhausted before approval for write off is sought.

9. Purchase Orders

9.1. Official orders shall be in a form approved by the Finance Team.

9.2. Official orders must be signed by Directors or other authorised staff/consultants and must be issued for all work, goods or services to be supplied to Greener Ealing except for the supplies of public utility services, for periodic payments such as rent or rates or for petty cash purchases.

9.3. Staff/consultants authorising any order must ensure that the expenditure to be incurred is covered by an approved budgetary provision.

9.4. Before placing any orders, the member of staff concerned must ensure that Greener Ealing's Contract Procedure Rules have been followed.

9.5. All orders will show the agreed price or, in cases where this is not practical, the estimated price. In the event that the subsequent invoice does not accord with the agreed price or exceeds an estimate by more than 10% the reason for this must be identified, noted on the order and initialled by the member of staff responsible for placing the order.

9.6. Goods may not be taken on trial or loan in circumstances that could commit Greener Ealing to a future uncompetitive purchase.

10. Payments

10.1. The normal method of payment of money due from Greener Ealing will be by BACS payment or cheque drawn on Greener Ealing's bank account. BACS will be used where possible.

10.2. Individuals authorised to approve payments for either goods or services are listed in Appendix 1.

10.3. The approval of accounts for payment will be evidenced by the relevant member of staff signing and dating the original invoice. The signing off of an invoice for payment means that:

- the goods have been duly received, examined and approved in accordance with the specification and are satisfactory and in accordance with the contract or order;

- the work done or services rendered have been satisfactorily carried out and where applicable the materials used were of the requisite standard, although in the case of maintenance invoices it is understood that this check can only be applied on a sample basis;
 - the account is arithmetically correct and prices are in accordance with the order;
 - no other account has been paid in respect of the goods received or work done;
 - the relevant expenditure has been properly incurred on Greener Ealing's business; and
 - the relevant expenditure has been properly coded.
- 10.4. The expenditure codes must be in accordance with the approved budget heading and not changed because other original budget head is being used in order to "vire" expenditure.
- 10.5. All invoices and statements should be sent directly by suppliers to the Council Finance Department who will process them for payments.
- 10.6. Photocopies (including fax copies) of invoices will not normally be accepted for processing apart from in exceptional circumstances.
- 10.7. No amendment to an account shall be made. In the event of an account being incorrect, the supplier should be notified in writing stating the reasons and a credit note and/or replacement invoice obtained.
- 10.8. It is Greener Ealing's policy to make payments to suppliers as per agreed payment terms.

11. Credit Card

- 11.1. Request to use company credit card should be approved by Managing Director or Head of Finance
- 11.2. The Company credit card should only be used where the standard payment using purchase order can't be made.

12. Bank Transfer Payments (CHAPS / Faster payments)

- 12.1 Individuals authorised to approve bank transfer payments for either goods or services are listed in Appendix 1. The approval can be provided by email confirmation to Finance team.
- 12.2 The commercial banking online approval based on the payment approval as per point 12.1 can be completed by Managing Director and Head of Finance. In absence of Managing Director or Head of Finance, the bank submission will be completed by Head of Compliance.

13. Salaries, Wages and Pensions

- 13.1. The Board each year approves the annual increment for staff. The Board shall have regard to any arrangements with trade unions and to any increases in the public scale to which Greener Ealing may be linked as well as the terms and conditions of employment.

14. Expenses

- 14.1. Items regarded as expenses for the purposes of these Regulations are specified in the Company Expenses Policy and Procedure.
- 14.2. All claims by employees or consultants working on Greener Ealing's behalf for payment of car allowances, travelling expenses, subsistence allowances or any other incidental expenses shall be submitted in a form acceptable to the Finance Team and comply with the Regulations laid down from time to time. Expense claims must be submitted on a regular basis but no more frequently than monthly.

15. Banking

- 15.1. All arrangements with Greener Ealing's bankers will be made by the Finance Team with the approval of the Board. Banking services will be reviewed in agreement with the Council as major shareholder of the Company.
- 15.2. All cheque books and collection cards will be ordered only on the authority of the Finance Team. The Finance Team will be responsible for ensuring that proper arrangements are made for their safe custody.
- 15.3. The Board shall approve any new banking arrangements or accounts.
- 15.4. Authority to sign cheques or authorise other payments either by standing order or direct debit is detailed in the Appendix 1 to these Regulations. For the purpose of deciding the value of the standing order or direct debit, the annual amount payable should be used.
- 15.5. All bank accounts must be reconciled to their respective cash books and the nominal ledger at least monthly.

16. Insurances

- 16.1. The Managing Director will be responsible for ensuring that Greener Ealing is properly insured.
- 16.2. Greener Ealing will ensure that all risks are underwritten by well-established reputable offices.
- 16.3. Greener Ealing will ensure that all of its properties are insured against the usual risks required by lenders securing their funds on the property concerned.
- 16.4. Insurances will also be maintained against the following risks:
 - Motor vehicle and plant insurance
 - Public liability
 - Directors and Officers Insurance
 - Professional indemnity insurance
 - Company equipment
 - Structural insurance if required

17. Control of Cash, Stocks, etc.

- 17.1. Cash floats and balances will be maintained on the designated system and will be reimbursed by the submission of an authorised expense analysis to the Finance Team.
- 17.2. The issue of credit cards to staff members must be approved by the Board in advance. Only valid business expenditure should be charged and must be fully supported by invoices. The Finance Team must approve any increases in the credit limit.

18. Title Documents

- 18.1.1. The Company Secretary will maintain a register of all properties owned by Greener Ealing in a form approved by the Finance Team, recording location, extent and plan reference, purchase details, particulars of nature of interest and rents payable and particulars of tenancies granted
- 18.1.2. Greener Ealing or its bankers or solicitors will have custody of all title deeds under secure arrangements where such title deeds are not held by a security agent acting on behalf of Greener Ealing's funders.

19. Depreciation Policy

- 19.1. Any fixed asset owned by Greener Ealing will be depreciated over the expected useful life of the asset, in accordance with generally accepted accounting principles.
- 19.2. Small items of capital expenditure, such as office equipment costing below an agreed amount are treated as repairs or replacements and written off in the year of purchase.

20. Taxation

- 20.1. The Finance Team is responsible for advising on all tax issues and for ensuring compliance with statutory requirements with regards to CIS, VAT, SDLT and Corporation tax.
- 20.2. The Council Payroll Team is responsible for advising on all tax issues and for ensuring compliance with statutory requirements with regards to PAYE and National Insurance.
- 20.3. The Finance Team is responsible for maintaining all tax records, making all tax payments when due and submitting tax returns by their due dates.
- 20.4. The Finance Team is responsible for developing an effective tax strategy in consultation with professional advisors.

21. Expenditure Authorisations

- 21.1. The Board has approved the following procedures and Appendix 1 for the authorisation of expenditure commitments and invoices for payment. This is an important internal control of Greener Ealing's expenditure and all staff and consultants should have a good working knowledge of the content. It is the responsibility of Directors to ensure that all staff and consultants under their control are fully aware of their own authority levels and limits.

21. Emergency Authorised Signatory

- 21.1 The Directors authorise the Managing Director to sign any document requiring the signature of a director, in the absence of all Director (such absence being as a result of being incapacitated or on holiday and unreachable), providing that the signing of the document cannot be delayed until the return of one of the Directors.
- 21.2 Under no circumstances, shall the Managing Director be authorised to sign such documents if any of the directors can be available to sign the required document without prejudice to the interests of the Company.
- 21.3 This authorisation shall not extend to the signing of documents that are required to be executed as a deed, as under the Companies Acts, deeds may only be signed by two directors or one director and the Company Secretary.

APPENDIX 1

Section 1- Capital Expenditure

Office Premises Acquisition
Office Premises Improvements
Office Furniture, fittings and equipment

Section 2 - Revenue Expenditure

Running costs
Budget/Business Plan
Cheque and Bank Instruction Signature levels
Overhead costs

Appendix 1

SECTION 1: CAPITAL EXPENDITURE

Category	Type of Authorisation	Limits	Authoriser	2nd Authoriser
Capital Expenditure	Office Premises - Acquisition	Over £100,000 Over £0 - £100,000 (inclusive)	Shareholder Rep Managing Director	GEL Board GEL Board
	Office Premises - Improvements	Over £500,000	Shareholder Rep	Head of Finance / Managing Director
		Over £250,000 - £500,000 (inclusive)	GEL Board	Head of Finance / Managing Director
		Over £0 - £250,000 (inclusive)	Managing Director	Head of Finance
	Office furniture, fittings and equipment and computer equipment	Over £500,000	Shareholder Rep	Head of Finance / Managing Director
		Over £250,000 - £500,000 (inclusive)	GEL Board	Head of Finance / Managing Director
		Over £0 - £250,000 (inclusive)	Managing Director	Head of Finance

SECTION 2: OTHER FINANCE APPROVALS

Category	Type of Authorisation	Limits	Authoriser	2nd Authoriser
Financial	Purchase Orders / Vendor and Non-Vendor Payments	Over £500,000	Shareholder Rep	Head of Finance / Managing Director
		Over £250,000 - £500,000 (inclusive)	One Board Director	Head of Finance / Managing Director
		Over £100,000 - £250,000 (inclusive)	Managing Director	Head of Finance
		£0 - £100,000 (inclusive)	Operations Manager	Head of Finance / Managing Director
	Sales Invoices / Credit Notes	Over £500,000	Shareholder Rep	Head of Finance / Managing Director
		Over £250,000 - £500,000 (inclusive)	One Board Director	Head of Finance / Managing Director
		Over £0 - £250,000 (inclusive)	Managing Director	Head of Finance
	Cheques or Bank Transfers (CHAPs / Faster Payments for payments to: Government departments; LBE, employees where requested by payroll; and one-off suppliers without POs	Over £500,000	Shareholder Rep	Head of Finance / Managing Director
		Over £250,000 - £500,000 (inclusive)	One Board Director	Head of Finance / Managing Director
		Over £0 - £250,000 (inclusive)	Managing Director	Head of Finance
	Loans from outside the Group	Standard trade credit on no more than thirty-day terms	GEL Board	Head of Finance / Managing Director
		All other external loans	GEL Board	LBE Cabinet
	Loans from LBE	Over £500,000	GEL Board	Head of Finance / Managing Director
		Over £250,000 - £500,000 (inclusive)	GEL Board (if decision taken outside of a Board meeting, approval must be unanimous via email)	Head of Finance / Managing Director
		Over £0 - £250,000 (inclusive)	Managing Director	Head of Finance
	BACS Payments	As set out in GEL Business Plan and in accordance with GEL Budget	Managing Director / Head of Finance	Council Payment Team
BACS Salary Payments	Managing Director / Head of Finance		Council Payroll Team	
Write down of Asset Value		GEL Board	LBE Cabinet	
Write off of Arreas and Debts		GEL Board	Managing Director	

OTHER FINANCE APPROVALS

Category	Type of Authorisation	Limits	Authoriser	2nd Authoriser
Budget/Business Plan	Approval, Amendment		GEL Board	LBE Cabinet
Bank Instruction Signature Levels	Changes to Authorisation Levels		GEL Board	GEL Board
	Opening new Bank Account		Two Board Directors (in accordance with Bank mandate)	Head of Finance / Managing Director
	Direct Debit/Standing Order		One Board Director	Head of Finance / Managing Director
Staff Appointments, Salaries And Staff Costs	New Appointments/ Replacement Staff	As set out in GEL Business Plan and in accordance with GEL Budget	Managing Director	Member of SMT
	Temporary Staff cover		Managing Director	Member of SMT
	Annual Salary Reward		GEL Board	Managing Director
	Board Members Expenses		GEL Board	Managing Director
Statutory Accounts and Auditors	Approval of statutory accounts		GEL Board	Shareholder Rep
	Appointment of auditors		GEL Board (recommendation)	Shareholder Rep (Approval of auditors as shareholder)

Greener Ealing Ltd - Board Forward Plan 2021

Date of Meeting	Standing Items	Governance	Strategic	Finance	Performance Management/ Operations/Specific Project Updates
Nov 2021	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minutes of Meeting • Matters Arising <ul style="list-style-type: none"> - Circular Resolutions • HR Update • MD Report • Performance Report <ul style="list-style-type: none"> - H&S Update - incidents / accidents - Operations Update - Transport Update • Risk Management <ul style="list-style-type: none"> - Risk Register • Forward Plan • 	<ul style="list-style-type: none"> • CSR Policy – withdrawn from July meeting 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • Finance Update 	<ul style="list-style-type: none"> •
Jan 2022	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minutes of Meeting • Matters Arising <ul style="list-style-type: none"> - Circular Resolutions • HR Update • MD Report • Performance Report <ul style="list-style-type: none"> - H&S Update - incidents 	<ul style="list-style-type: none"> • Annual Whistleblowing report (policy approved 17/12/20) 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • Finance Update 	<ul style="list-style-type: none"> •

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Date of Meeting	Standing Items	Governance	Strategic	Finance	Performance Management/ Operations/Specific Project Updates
	<ul style="list-style-type: none"> / accidents - Operations Update - Transport Update • Risk Management <ul style="list-style-type: none"> - Risk Register • Forward Plan 				
Mar 2022	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minutes of Meeting • Matters Arising <ul style="list-style-type: none"> - Circular Resolutions • HR Update • MD Report • Performance Report <ul style="list-style-type: none"> - H&S Update - incidents / accidents - Operations Update - Transport Update • Risk Management <ul style="list-style-type: none"> - Risk Register • Forward Plan 	<ul style="list-style-type: none"> • Anti-Bribery Gift and Hospitality Policy <i>(approved Feb 2021)</i> • Risk Management <i>(approved Feb 2021)</i> • Freedom of Information Policy <i>(approved Feb 2021)</i> • Equality and Diversity Policy review <i>(final objectives approved Feb 2021)</i> 		<ul style="list-style-type: none"> • Finance Update 	<ul style="list-style-type: none"> •

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Date of Meeting	Standing Items	Governance	Strategic	Finance	Performance Management/ Operations/Specific Project Updates
May 2022	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minutes of Meeting • Matters Arising <ul style="list-style-type: none"> - Circular Resolutions • HR Update • MD Report • Performance Report <ul style="list-style-type: none"> - H&S Update - incidents / accidents - Operations Update - Transport Update • Risk Management <ul style="list-style-type: none"> - Risk Register • Forward Plan 	<ul style="list-style-type: none"> • Anti- Fraud Policy (<i>approved April 2021</i>) • Health and Safety (update approved April 21) • Data Protection Policy and Handbook (updated and recirculated April 2021) • Environmental Policy (approved April 2021) • Quality Policy (approved April 2021) 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • Finance Update 	<ul style="list-style-type: none"> •
July 2021	<ul style="list-style-type: none"> • Apologies • Declarations of Interest • Minutes of Meeting • Matters Arising <ul style="list-style-type: none"> - Circular Resolutions • HR Update • MD Report • Performance Report <ul style="list-style-type: none"> - H&S Update - incidents / accidents 	<ul style="list-style-type: none"> • Scheme of Delegation (update approved 01/07/2021) 	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • Finance Update 	<ul style="list-style-type: none"> •

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Date of Meeting	Standing Items	Governance	Strategic	Finance	Performance Management/ Operations/Specific Project Updates
	<ul style="list-style-type: none"> - Operations Update - Transport Update • Risk Management <ul style="list-style-type: none"> - Risk Register • Forward Plan 				