

Appendix 1

OLDHAM COUNCIL

JOB DESCRIPTION



Oldham
Council

Job Title:	Client Finance Officer	
Directorate:	Community Health and Adult Social Care (CHASC)	Division/Section: Community Business Services
Grade:	Grade 5	JE Reference:

Job Purpose:

To provide an effective and accurate income service for adult social care provision in accordance with agreed performance targets.

To complete financial assessments to calculate service user contributions towards social care services, being responsible for complex cases including deferred payments and issues of deprivation.

To support the Directorate to maximise its income from social care and other related charges and offer support and advice on client finance matters.

Key responsibilities

Undertake accurate and timely financial assessments for social care customers in a range of settings, gathering and verifying evidence, and liaising with others as required e.g. family members, social care providers, Department for Work and Pensions, Care Managers.

Manage the deferred payments scheme, monitoring and reviewing cases as appropriate ensuring that reports are kept up to date, charges are raised and statements are issued in line with policy.

Gather, validate and analyse evidence from a range of sources, to enable fully informed decisions to be made on requests for formal reviews and appeals of financial assessments.

Attend safeguarding and best interest meetings to provide support on individual cases.

Ensure all invoices, bills and other charging correspondence sent to service users (and/or their representatives) are accurate, meet quality standards and adhere to agreed processes.

Help recover social care debt from individual service users and/or their representatives, liaising with Care Management, Credit Control and other relevant colleagues to bring down the level of social care debt owed to the Council.

Ensure all duties are undertaken with due regard to the Council's financial regulations, national charging guidance, local charging policy, the corporate debt recovery policy, internal debt recovery procedures and other relevant policies and procedures.

Investigate any discrepancies found when cross-checking service information with social care and payments data to ensure recharges are accurate and up to date, ensuring all necessary adjustments are made.

Ensure all customer queries regarding invoices, payments and debts are sensitively and satisfactorily resolved, in accordance with internal and corporate policies.

Gather information, and liaise with all relevant parties, to ensure complex charging, invoice issues and other related queries; problems or complaints are satisfactorily resolved, referring to the team manager as necessary.

Maintain accurate and up-to-date records (electronic and manual) in accordance with service standards, policies and procedures including updating all IT (and other) systems in a timely manner, complying with all service standards, including financial, social care and casework systems.

Provide specialist technical advice, guidance and support to other staff, clients, Council officers and others, regarding income and payment policies and procedures.

Keep up to date with relevant legislative, policy or other changes to ensure the continuing delivery of high-quality financial assessment, charging and other relevant services.

Participate in projects to improve the delivery of commissioned services, income and other social care related issues.

Line management responsibility for Assistant Caseworkers, ensuring performance reflects expected levels of service delivery.

General

Maintain accurate and up-to-date records (electronic and manual) in accordance with service standards, policies and procedures.

Proactively identify practice and procedural improvements to enhance efficiency and customer service. Help develop and keep up-to-date relevant policies and procedures, supporting their effective implementation.

Actively participate in your own 1-2-1, supervision, appraisal and learning and development sessions with your line manager.

Actively promote and apply the Council's Equalities and Diversity agenda and adhere to the Council's Customer Care standards

Adhere to health and safety, data protection, employee conduct, information security, and all other policies of the Council and your service area.

Attend local, regional or national meetings as required.

Provide cover for colleagues as directed, in order to ensure performance targets are met.

To undertake such other appropriate duties as may be assigned by your supervisor or line manager

Contacts:

Other team members, Managers, other Council Officers, external agencies (including the NHS, DWP and other Government Departments), Social Care clients (and their family members, carers, or legal representatives), social care providers, the general public.

Relationship To Other Posts In The Department:

Responsible to: Team Manager

Responsible for: Assistant Caseworkers

Special Conditions:

DBS disclosure – enhanced

Essential Car Allowance - access to a vehicle, insured for works purposes

	DATE	NAME	POST TITLE
Prepared	August 2017	Kirsty Littlewood	Head of Service
Reviewed	May 2021	KL	Interim AD

Appendix 2

Private and Confidential

To: Ian Barkley
Income and Payments Officer

Dear Ian

Re: Investigation outcome

Thank you for attending the investigatory interview on the 14th February 2020 in relation to the incident and allegations discussed at the interview and summarised below:

- Attitude and Behaviours relating to
 - Speaking to colleagues rudely, and making them feel uncomfortable
 - Being rude about managers – calling KL a queen and being arrogant and dismissive of line managers
 - Being overbearing in the office
 - Revelling in finding errors with other people's work and broadcasting these
- Non-compliance with instructions/Council policy
 - Non completion of PPF
 - Non-compliance and poor communication with managers following instructions
 - Offering own view of Council policy regarding debt rather than sticking to policy

I now write to confirm an outcome of my findings (*which were shared with you verbally*) in our meeting on March 17th.

The investigation covered hearing evidence from a number of witnesses in addition to yourself, and analysis of emails relating to the allegations.

Having considered all the evidence gathered throughout the investigation and your responses at the investigatory interview, I have taken the decision that there is evidence that at times your behaviours have fallen below the expected standard of the Council, and that these need to be addressed. However, on this occasion, this will be done outside of the disciplinary process and the issue will not progress to a disciplinary hearing.

Now that I have concluded the investigation, it is important that lessons are learned to avoid future reoccurrences of the behaviours which have led to the allegations being made.

I therefore believe it is necessary that you are issued with a Management Instruction letter to confirm in writing what the next steps will be. The Management Instruction will be issued to you separately from this one and placed on your personal record. This will include:

- The implementation of a Personal Performance Improvement Plan (PPIP)

- Regular monitoring of attitudes and behaviours
- Additional training relating to managing behaviours within teams and as an individual, for example communication, managing difficult situations, teams relationship management. Mentoring will also be considered.

In addition, we would like to offer a referral to Occupation Health to understand whether you would benefit from additional support to manage your behaviours. Other support is available through the Employee Assistance Programme (EAP) and Able Futures.

https://intranet.oldham.gov.uk/info/20255/mental_wellbeing_beta/251/counselling_and_advice

http://intranet.oldham.gov.uk/info/20255/mental_wellbeing/575/able_futures

Your manager will be in contact with you to start the actions listed above.

Recommendations will also be made to the service manager which will include the above, plus wider issues relating to:

- The review of management and office arrangements
- Team relationship building within team and across the wider service team
- Continuous monitoring and support

This will assist in establishing best practice working arrangements that are consistent across the service.

It is your responsibility as a valued member of the team that you follow the agreed procedures, and the Council are expecting a positive outcome. This investigation is now concluded. However, if outcomes are not satisfactory, then a further investigation may be commenced.

Thank you for your patience and professionalism during the investigation.

Yours sincerely



Vicky Walker
(Investigating Officer)

Appendix 3

Margaret Warburton-Vaughan

From: Lisa Entwistle
Sent: 08 March 2022 15:04
To: Ian Barkley
Subject: Discussion Today

Hi Ian,

Following our discussion this morning, I did confirm that I would put what we discussed in writing, so we can log our discussions.

I feel we had a really good conversation with this morning.

We spoke around not complying with management instruction, and your approach when speaking to management and members of the team, can sometimes come across in a negative and dismissive manner, which you acknowledged. We all have bad days, but this does not excuse the way your actions then reflect on staff and the way it makes them feel. I appreciate we all have a different skill set and it is frustrating when people are not taking ownership and driving the work in the team, but this is for management to pick up and action. It is also not acceptable to speak to managers in the way that has been reported, and I would like you take this on board going forward.

You did advise that you don't always read your emails and that 'you don't have time' I spoke around time management, which you took offence to due to your military work. I advised that we all have a number of conflicting priorities and have to respond and manage a number of things, you advised that I get paid a lot of money to do this, however for me money doesn't come into the way we perform and we should all have the same priority and that is 'working with a resident focus'.

I understand that you are frustrated at the moment in regards to the team, and staff taking ownership and doing things for themselves, even after training has been provided and you stated that you seem to get the all complex queries to solve, I did advise that this isn't the case, although you seem to get the majority from managers contacting you directly and this is a reason why we need to share your knowledge and skills to ensure the rest of the team are skilled and experienced to deal with them. You also need to follow the process and ask managers / staff to email the team inbox directly to ensure queries are being allocated fairly across the team.

You did mention if anyone i.e. management took into consideration the way you have been made to feel re: transferring over to Client Finance and feels as though you are just a number. I explained that full consultation with staff took place around the redesign and all staff were offered 1:1's, however take on board your comments and want to reassure you that we do not class any of the team, as just a number and all staff are an integral part of the service. I advised I would feedback and also that I took this on board in regards to you feeling like this and I am always here if you want to talk anything through or require support.

I also want to note the commitment and work you have completed in regards to work in the boxes and dealing with historic and complex issues that are coming into the service, this is not unappreciated and fully aware of the additional tasks you are completing in regards to this.

You did advise me although Ansar is on leave, you have been communicating with him around work, I have to say I am concerned around this, as people need a complete break from work when they are on leave, and I don't want people thinking about work when they should be spending quality time with their family. A positive home/ work life balance is key to the delivery of services.

I would like you take note and on board the discussions we had today, and advise that not following management instructions is a disciplinary action, and if this did continue, I would have no other option but to take formal action and issue a letter of concern.

I am glad we have been able to have an open and honest conversation and appreciate your honesty.

Should you have any queries regarding this or require a further conversation, please let me know.

Many thanks

Lisa

Lisa Entwistle
Head of Client Services
Civic Centre – Level 4
West Street
Oldham
OL1 1UL

Direct Number: 0161 770 6876
M: 07841 364 580
E: lisa.entwistle@oldham.gov.uk

Please note my non working day is every Wednesday

THINK WELLBEING: *This email was sent at a time & date convenient to the sender, please do not feel under any pressure to respond if this is outside your usual working hours*

Appendix 4

09 June 2022



Private and Confidential
Mr Ian Barkley
Sent via email
ian.barkley@oldham.gov.uk

Community Business Services
Client Services
Level 4, Civic Centre, West St
OL1 1UL
Contact:
Tel: 0161 770 1520

Dear Ian,

Letter of concern

I write further to our meeting on 27 May 2022, where we discussed your approach when speaking to colleagues and managers.

At the meeting we discussed how it is inappropriate for you to speak disrespectfully about other members of staff, including managers and how this can impact on those staff members and colleagues who overhear these comments. We also discussed how your approach when speaking with colleagues can come across in a dismissive manner.

We also discussed how there are no concerns in relation to your work and commitment to the service. You advised that you did not disagree with anything we discussed.

This meeting was conducted outside of the formal procedures, following on from a previous discussion you had with Lisa Entwistle in March in relation to the same matters and, as such, this letter will not form part of your formal records. However, it may be referred to if the same concerns continue in the future.

If you have any queries regarding the content of this letter, please do not hesitate to contact me.

Yours sincerely

Sophie Harland
Client Finance Team Manager
Direct line: 0161 770 6881
Email: sophie.harland@oldham.gov.uk

Appendix 5

Margaret Warburton-Vaughan

From: Sophie Harland
Sent: 17 June 2022 13:52
To: Ian Barkley
Subject: LOC monitoring
Attachments: IB LOC.pdf

Hi Ian,

Further to our meeting on 27 May 2022 and the subsequent letter of concern issued on 09 June 2022 in relation to your approach when speaking to and about colleagues and managers, as you have continued to speak in a disrespectful manner, I will be continuing to monitor this over the next four week period and we will also review and discuss the matter in your next supervision session.

If this behaviour continues, formal disciplinary action will be taken in relation to your conduct.

If you have any questions, please let me know?

Thanks
Sophie

Sophie Harland
Team Manager
Client Finance Team

Civic Centre – Level 4
West Street
Oldham
OL1 1UL

Direct Line: 0161 770 6881
Client Finance Team number: 0161 770 1520
Mobile: 07970 601 131
Email: sophie.harland@oldham.gov.uk
www.oldham.gov.uk

THINK WELL BEING: This email was sent at a time & date convenient to the sender; please do not feel under any pressure to respond if this is outside your usual working hours

From: Sophie Harland
Sent: 09 June 2022 09:30
To: Ian Barkley <Ian.Barkley@oldham.gov.uk>
Subject: LOC

Morning Ian,

A discussed, please see attached letter of concern for your records.

Thanks
Sophie

Sophie Harland
Team Manager
Client Finance Team

Civic Centre – Level 4
West Street
Oldham
OL1 1UL

Direct Line: 0161 770 6881
Client Finance Team number: 0161 770 1520
Mobile: 07970 601 131
Email: sophie.harland@oldham.gov.uk
www.oldham.gov.uk

THINK WELL BEING: *This email was sent at a time & date convenient to the sender, please do not feel under any pressure to respond if this is outside your usual working hours*



Oldham
Council

OLDHAM COUNCIL RECORD OF SUPERVISION FORM FOR SOCIAL CARE STAFF

Supervisee / Post	Ian Barkley	Supervisor / Post	Sophie Harland
Line Manager (if different to above)		Date & time of supervision	26 July 2022 10.30am
Date of last supervision	28 June 2022	Date rearranged if previous date cancelled	

This record of supervision is private but not confidential. Please refer to Oldham Council's PCS Directorate Supervision Policy 2012 for details.

Action / matters arising from the last supervision

Standard Items

Management of performance: <ul style="list-style-type: none"> Review of current workload including volume and complexity Allocation of new work Review pledge Reflective learning 	Support and Welfare <ul style="list-style-type: none"> Health, Safety & Wellbeing Annual leave / flexible working Compliments and complaints Equality & Diversity 	Learning and development <ul style="list-style-type: none"> Review of training activities Discussion of training needs Mandatory training – e.g. Health & Safety, managing stress in the workplace(manager) or dealing with stress in the workplace(staff) Working at height risk assessment(manager) Induction training
--	--	--

Appendix 6

Supervisee Signature:	Date 26 July 2022
Supervisor signature:	Date 26 July 2022
Audited / checked by supervisor's manager as part of the quality assurance process:	Date
Date and time of next supervision:	

RECORD OF SUPERVISION FORM

Wellbeing	<p>IB has just returned from a long weekend where he went to an Irish Festival, which he really enjoyed and has booked on again for next year.</p> <p>IB has booked two weeks of in August and will be changing one of the weeks, as he has stable blocks to build. IB will move in calendars, ITrent and on the spreadsheet by COP today.</p> <p>SH asked IB how he has been getting on with his chest pain. IB has had blood tests taken and has not heard anything from these. IB believes that there are no concerns with bloods.</p> <p>IB is feeling ok otherwise and is feeling fine from a work perspective.</p> <p>IB advised that if he was asked if he wanted to work in the Client Finance Team, he would have said no. SH advised that IB is doing something about the fact that he is unhappy and is looking for other jobs.</p>	
Letter of Concern	<p>IB is out of his 4-week monitoring period now. IB has been very helpful to colleagues both within the team and other teams.</p> <p>SH advised that everyone is entitled to their opinion, but if he has something to say that is concerning him, SH has asked that he speaks to SH privately. For example KB will not want to hear any comments related to AB and neither will the rest of the team. IB advised that he will not speak about AB in front of KB as it's not his place. IB unsure of mixed messages that are being given to the brokerage team re support from IB. The Brokerage Team have been advised that they cannot speak to IB, but can if they have authorisation from AB. SH advised that she is happy for IB to provide support on matters that Brokerage haven't come across before, as long as they take responsibility from their learning and take notes.</p>	SH & IB to action

	IB feels that AB is way out of her depth.	
Brokerage Team	<p>IB believes that things are going to get worse in the Brokerage Team. IB believes that in 6 weeks' time there will be providers coming to us asking for payments. SH asked why 6 weeks and IB stated we will see why then.</p> <p>SH has suggested that IB & AB meet to discuss the matters IB has identified for AB to pick up, such as Oakdene having two creditor references, 1:1 support being purchased incorrectly, Day Care – meals are put on OCS billing, but day care is not being set up correctly on the provision. AB has scheduled a meeting with IB.</p> <p>SH updated that she has met with LE this morning to discuss D2A as there have been some placements that are dual funded or also had no FA's. D2A should just be nursing pathway.</p> <p>Other issues in relation to top ups and purchasing without approval and sustainability process followed – SH attended Brokerage Team meeting to discuss this.</p> <p>Perm full cost clients and purchases – also discussed by SH at the Brokerage Team meeting.</p> <p>CHC clients where recharge should be applied. Example Mohaze Khan – not work flowed through to ourselves. Assignment note on Check client contribution should include CHC funding info.</p> <p>CHC post 30 June 2022 – SH will be speaking to AB this afternoon to establish where she is up to with bank account details. If not progressed SH will email CCG email IB forwarded. SH will rearrange the post 30 June internal process meeting in the coming weeks – SH asked AB to discuss this at her team meeting, AB assured that this has been done.</p> <p>IB doesn't believe that our CCG master spreadsheet is 100% accurate and believes that other</p>	

	<p>purchases will be sat with Brokerage Team. SH asked if there is a list of accruals that the CCG have? IB will share his master list with SB and ask for missing broadcast numbers and also any client details for individuals we don't have logged. IB will then liaise with AB to clarify any purchase requirements and IB will either complete himself or AB will expedite within Brokerage Team.</p> <p>C19 conversions – IB has been supporting the Brokerage Team with this as there are lots of cases with no closure dates, awaiting CA & CHC assessments etc. IB has shared with Business Strategy. IB will end all res C19 provisions where he can and will run a dummy billing cycle. IB will start on the community clients once res are complete, which he believes will take longer. There are a number of care act assessments sat incomplete which cannot be signed off at OPS meeting – SH will email Joanne Nuttall.</p>	
CHC Reconciliations	<p>IB is continuing to work on CHC reconciliations and meets virtually now with SB on a Weds. IB & SB will establish if they need to meet face to face at any point. No new MDT letters received for around 2 weeks.</p> <p>SH advised that she has looked at the debtors report this week and advised that the 4 cases from 2019 / 20 are still on there – IB to look at those 4 cases and provide an update by COP this week. IB believes that SB has no open workflow for these cases and is only working on 2022 now.</p> <p>CHC reconciliation process – We met last week at the CHC assurance meeting, where LT had asked for credits to be included. SH is waiting for speak to LE & KL re Client Finance reporting requirements, as this is becoming quite a time-consuming job and we need to re confirm responsibilities of Finance and Client Finance. SH will share with LT the copy we discussed last week, for her reference. SH advised that Client Finance are reporting only on factual information, which includes the total projected recharges for each financial year, evidenced by each billing cycle.</p> <p>IB has liaising with LM in credit control who he is waiting for copies of 3 queries for 3 queries – LM</p>	IB & SH to action

	<p>has been off, but IB will chase this week.</p> <p>CCG billing cycle should be ran 4 weekly now. SH will liaise with KS in AB's absence to find out what date it will be ran, then SH will update all calendars to ensure CF Team are aware.</p> <p>SH & IB discussed how the amount of credits being raised in recent months may have increased to previous years due to the amount of time IB is working on this and also the incorrect information that is shared with IB. IB advised that he has not been putting on case notes on when credits are raised. SH has requested that IB adds case notes for all credits raised so that we have a clear rationale and audit trail.</p> <p>The report that Alex sends over does not contain MOSAIC ID – unsure why?</p> <p>IB believes that KB & KM will struggle with CCG process, mainly because IB feels KM is drowning and KB will pick this up but maybe not understand why she is doing it. IB feels that KM & KB will be overwhelmed with having to update client contributions, apply third party to up recharges and CCG work. IB feels that he will end up having to complete these, but IB advises that everything is a team responsibility. SH agrees that it is a team responsibility and that everything will be split equally, and adequate training will be provided. We will be deciding together as a team the best approach to deal with all of our team responsibilities.</p> <p>CCG process review meeting is scheduled for 04 August 2022 to start conversations around the external process between both organisations.</p> <p>Continue on CCG reconciliations and recharges. CCG billing priorities – IB to speak with Aysa this week to discuss requirements for testing. TA has set up a new debtor last week for this – IB will check this is set up on 30 day payments.</p> <p>Client contributions.</p>	
Work priorities		

	<p>Pathways contribution query – MH has been off sick for a period but is now back in work. IB to liaise with MH regarding this to ensure he can complete his actions required re client contributions. From memory SH believes that it is for us to review contribution arrangements and that we are to pay gross, but SH will review and action s appropriate.</p> <p>2 X DP contribution queries – Ongoing and IB has had an initial meeting with a client and the other is regarding misuse of funds.</p>	
Training requirements	<p>CF Team training discussion booked for 28 July, to identify training requirements. SH will then complete training schedule. We will also be discussing collectively how we are to approach our teamwork load. I believe that some calls that are received are not dealt with appropriately and calls are passed to Brokerage Team, which could have been dealt with by Client Finance. SH asked where we draw the line? IB believes that both teams should be working together and supporting one another, which includes for example CF raising credits for care not received.</p> <p>We will also include a discussion around the client contribution process – currently agreed to be part of FA process but should this be picked up separately. Also need to discuss Brokerage workflow, which may duplicate our work.</p> <p>SH has advised that she is hoping that by the end of December we should have complete policies and procedures folder for all Client Finance team responsibilities which will be held on Sharepoint.</p>	All Team to action
Deferred Payment billing	Razzaq was asked for an update on this prior to him going on annual leave for 3 weeks. SH will ask for an update next week.	IB , SH & JP to action
Training Clinics	SH will commence with his first clinic on 02 August 2022 with the MH Teams at Forrest House & Maple House. SH has asked for IB to pick up the sustainability process, as she has received a signed top up agreement today, but no sustainability process has been followed. IB had a call with MH	IB to action

		worker today and provided some advice.	
Cyber training	Security	IB has been liaising with DO in relation to this as IB could not access the training. IB will review this week to see if he can access this. IB hasn't tried to log on since as he has not received any further communication regarding this, to advise that he can now access the training session.	IB to action
DBS		Now been received and Searchlight and Academy access requested 15 July 2022. IB has now registered for the update service – IB to put the expense of £13 through for SH's approval.	SH & IB to action
FA queries		IB agreed he would have capacity next week to support with FA queries. SH will have with the team.	SH & IB to action
House-Keeping		IB advised his flexi time is approx. 1 hour in credit. Timesheet to be shared every 4 weeks with SH.	IB to action

Date: 9th August 2022
Our ref: MWV/AE
Your ref:

Appendix 7



Private & Confidential

Mr Ian Barkley
11 Brandon Crescent
Shaw
Oldham
OL2 7YB

**Community Services and Adult
Social Care**

Civic Centre
Oldham
OL1 1NL
Contact: Margaret.warburton-vaughan
Tel: 0161 770 6882
Email: margare.warburton-
vaughan@oldham.gov.uk

Dear Ian

Re: Confirmation of Disciplinary Investigation

I am writing to confirm the details of the meeting which was held on Monday 8th August 2022 with David Garner, Head of Business Strategy and Performance, Adult Social Care and Ann Edwards, HR Adviser. You were not accompanied at the meeting although you had been informed that you could bring a Trade Union representative or a colleague.

You were advised that a Disciplinary Investigation will take place into your conduct and the Investigating Officer will be Margaret Warburton-Vaughan, Business and System Change Lead, Adult Social Care supported by Ann Edwards, HR Adviser. It was confirmed that you will not be suspended from duty during the investigation.

The investigation will investigate the following allegations:

- You have demonstrated unacceptable attitudes towards other staff on the team and within management
- You have not followed management instructions in a timely manner
- You have taken lengthy breaks from work and not reflected these breaks accurately on your timesheets

These are broad allegations which may change as the investigation progresses.

The purpose of the investigation is to establish the facts of the case and provide you with an opportunity to respond to the allegations. It was noted that you are on annual leave from 12th August 2022 for two weeks and you were informed that you will be invited to an investigatory interview when you return to work. You will be given adequate notice of this meeting.

You have the right to be represented at the investigatory interview by a trade union representative or work colleague and are recommended to do so. Should you wish to be accompanied, please make any necessary arrangements.

I attach a copy of the Disciplinary Procedure for your information.

I am aware that this may be a difficult time for you and would like to advise you that the Council offers a free Employee Assistance Program to staff (including a confidential Counselling Service). Should you wish to access this you should telephone 0800 882 4102.

Please be aware this matter is strictly confidential and should not be discussed with anyone other than your representative.

Finally, if you require any further support, please let Ann Edwards know.

Yours sincerely

Margaret Warburton-Vaughan

Investigating Officer

E-mail: margaret.warburton-vaughan@oldham.gov.uk

Tel: 0161 770 6882

Appendix 8

Private and Confidential



Report

Miss Sophie Harland
Complex Case Officer
GMCA - Oldham
29/09/2022

Optima Health
Meadowcourt
2 Hayland Street
Sheffield
S9 1BY

Tel:
0330 008 5978

<https://www.myohportal.co.uk/suite>

Referral ID: 4014114
Employee: Mr Ian Barkley
Date of Birth: 05/02/1963
Employed as: Client Finance Officer

Dear Miss Sophie Harland,

Following receipt of your occupational health referral for Mr Ian Barkley, I have prepared the following report.

Current Health Issues

I completed a successful telephone assessment with Mr Barkley today. I have discussed the purpose of the consultation with him, and consent was given to undergo the assessment via telephone today, 29.09.22. The referral states that he was referred for an assessment due to a recent absence. He was absent due to stress and work related issues. Mr Barkley reported symptoms of stress caused by perceived work related issues. He has returned to work, however, reported today that the work related issues are ongoing. He has spoken with the GP and does not take any medication for his mental health. He reports symptoms of low mood, anxiety, palpitations, sleeping problems, and irritability. I have advised him to contact the EAP service for support- PAM Assist 0800 882 4102.

While he was absent he reported today that he fractured his right leg. He had an x ray and his leg was put in a cast and he was then given a moon boot. He attended the fracture clinic yesterday and is no longer using the boot. They are happy with his progress and he has not had any physiotherapy. He has another fracture clinic appointment next week. He reports a good recovery and can fully weight bear on his right leg. He reports some minimal pain and stiffness and does not take any pain medication. He has not driven since the injury and gets a tram to work. He can walk for about 1/4 mile at a slow pace before stopping. He reports no problems sitting or standing and can walk up a flight of stairs. He reported today that this injury does not cause him any problems at work. He is independent with his activities of daily living.

Current Capacity for Work

Based on my assessment today in my clinical opinion Mr Barkley is fit for work and no adjustments are currently required. He reported today that he returned to work last week and is managing his full hours and duties.

I have undertaken an assessment today using nationally recognised questionnaires to determine the extent of his symptoms. The results indicate that he is experiencing moderate symptoms of anxiety and depression.

He informed me today that the cause for his symptoms are the perceived work related issues. He informed me

Optima Health is a trading name of OH Assist Limited. Our Registered Office is Meadow Court, 2 Hayland Street, Sheffield, S9 1BY. We are registered in England and Wales with Registered Number 09621658. Optima Health is a trading name of Working on Wellbeing Ltd. Our Registered Office is Grosvenor House, Prospect Hill, Redditch, Worcestershire B97 4DL. We are registered in England and Wales with Registered Number 08544676.

Private and Confidential



today that he is currently under investigation and this is ongoing. He is likely to remain symptomatic until the perceived work related issues have been resolved and a solution has been agreed by both parties. I recommend management have continued dialogue about the issues, identify workplace stressors and develop an action plan to try, where possible to mitigate them. I recommend utilisation of a stress risk assessment. I would advise that management review this assessment with him at agreed intervals going forward. The stress risk assessment will provide guidance regarding steps which could be taken to support him at work.

Current Outlook

Work stress should be treated as a serious matter due to the detrimental impact it can have on an employee's physical health, mental health and overall wellbeing. Work related stress is not recognised as a medical condition but a cluster of symptoms associated with the situation. In cases of Work related stress, a proactive approach is advised. Failure to resolve any issues is likely to lead to future absence and the potential development of physical and mental health conditions.

Disability Advice

My interpretation of the relevant UK legislation is that Mr Ian Barkley's work related stress is unlikely to be considered a disability because it:

- has not lasted longer than 12 months nor is likely to last longer than 12 months

Manager Question(s)

Is Ian fit to return to work in his role.

Please see capability to work section of the report.

Would Ian benefit from a phased return to work or any other adjustments.

Mr Barkley informed me today that he returned to work last week and is managing his full hours and duties. In my opinion a phased return to work is not required currently. Due to the perceived work-related issues, I recommend utilisation of a stress risk assessment.

Follow On Action

No follow on actions required

I have discussed the content of this report with Mr Ian Barkley and have the relevant consent to release this information to you. If you have any queries regarding the content of this report please contact us by visiting <https://www.myohportal.co.uk/suite> or call your Customer Helpdesk.

Private and Confidential



Yours Sincerely,

Ms Emma Rice

Occupational Health Advisor

0330 008 5978

www.optimahealth.co.uk

Appendix 9

Grievance Statement Forms

Form 1

Stage One Grievance Statement

Name(s) - Sophie Harland

Employee Number - 251210

Directorate – People Services

Service Area – Adult Social Care

Post Title – Client Finance Team Manager

Grade - 9

Length of Service in Post – Worked at OMBC for 14 years, 10 months in current post.

COMPLETE ALL SECTIONS

What are you aggrieved about? Please be specific.

The continuing disrespectful, bullying, disruptive, manipulating and controlling behaviour of Ian Barkley (IB) (Client Finance Officer – Employee number 256785), towards myself and others, which is now severely negatively impacting on my mental health and wellbeing. This behaviour and Ian's actions are also having a detrimental impact on the authority and residents, which pose a serious reputational risk.

My personal experience with Ian is the complete opposite of the image he portrays with colleagues in other services.

I have recently reflected on a time when myself and Ian were in the same role a number of years ago and there was a period of around 6 months where Ian would not speak to me. I had not done anything wrong or given Ian any reason not to speak to me. When he eventually started to engage with me again he said that he was testing me as this is what they used to do to women in the army.

I feel that Ian continues with mind games, now on a greater scale and I am not prepared to be a victim of this any longer than I have endured already.

Relevant Background to the Grievance

As part of our service restructure in December 2021, Ian has been a Client Finance Officer under my line management since April 2022, following a transition period from his previous role between January 2022 – April 2022.

I first met with Ian regarding his behaviour on 27 May 2022 and issued him with a letter of concern following this discussion on 09 June 2022. Since being issued with a letter of concern, Ian continued to behave in a disrespectful manner, undermining me, not attending meetings with myself, not completing work that he had been asked to complete and generally ignoring any requests. To note also that this was following a meeting Ian had with another manager in March regarding this behaviour

[Type here]
[Type here]

[Type here]

On 17 June I advised Ian that as he had continued to speak in a disrespectful manner that he would be on a 4-week monitoring period.

There was a brief period of improvement and Ian was advised during his supervision session on 26 July 2022 that his 4-week monitoring period had ended, being reminded again that he should not speak inappropriately about colleagues.

On 27 July 2022, the day after being advised that his 4-week monitoring period had ended Ian continued again to ignore any communications from myself, requesting urgent information related to recharges totalling multi-millions of pounds. It was only when I messaged IB on MS Teams that he responded with a rude message where IB had chosen to work on something that he chose to do, which was no longer his responsibility.

On that same day I was also informed that IB had spent a significant proportion of the day away from his desk and passing written notes to another colleague who no longer works in the service, who decided to sit next to IB, although there was no reason to.

On 28 July 2022 I held a team planning session where I met with the team to consult with the team, to provide an opportunity for their thoughts and views to be considered with future plans for the team and how we all feel is the best way to approach the departments workloads and responsibilities. Throughout this session IB was not engaged and when asked for his input, he advised that he has a different work ethic to everyone else and was scaremongering in relation to certain aspects of the role, which was not helpful and had a negative impact on some of the newer team members.

Also, on 28 July 2022 IB was involving himself in something that had nothing to do with him and was advising a commissioning manager to contact his AD, which was not required, as everything was in hand with the appropriate staff members.

On the same day, 28 July 2022, IB was involving himself with another enquiry that he should not have been involved with, also pointing out that I had completed something incorrect, which was not the case, which I followed up with IB in an email.

There were multiple incidents again the next day, 29 July 2022, where IB had not responded to enquiries or logged information correctly on case notes and our query tracker, spoke disrespectfully and critically of another team member loudly in the open office and not actioning a request from myself in relation to an enquiry that had been received by another services' AD. IB had been chased multiple times to complete this and ignored me. IB deflected from the fact that he had not completed something he had been asked to do, back on me, advising that he wanted to speak to me about it, which I had previously advised to book time in with me (which he did not), but that I was clear in what was required and speaking to me about an element of this request, did not prevent him from actioning what was requested, by the deadline given. Not only was the family of a resident waiting for this to be completed, but a provider also. I can share emails related to this, which demonstrate IB's tone.

IB was then absent on sick leave from 09 August 2022 – 18 September 2022.

During IB's return to work interview on 20 September 2022 IB advised that he would like a stress risk assessment and referral to occupational health. I provided IB with the stress risk checklist and submitted a referral to occupational health that day.

It was brought to my attention from another department on 21 September 2022 that IB had taken the decision to credit an account which he had no authority to do so. He had agreed to complete this over 12 months ago and this was being followed up by our credit control department, as he has not actioned what he had advised he would do. There were no case notes on to evidence IB's involvement and when I emailed him to ask for information on this, he responded with an email stating why he had authorised this and that there is not enough time to complete tasks in this role. I can share this email trail for reference, to demonstrate IB's tone. There is a write off process that is to be followed if there are no funds left in a persons estate to cover any outstanding invoices, which was not followed in this case.

I followed up on this within our team huddle to advise on credit note responsibilities, confirming what the team are not authorised to credit and can share a copy of the minutes to evidence what was discussed.

Due to increased capacity pressures within the team, following a team member commencing with sick leave on 21 September 2022, I met with the team on 22 September 2022 to discuss the implementation of an interim team plan and provide support and acknowledgement of the increased pressures on each individual team member. Everyone's comments were considered and slight changes to the plan were made during this session and I emailed a copy of the plan to all team members, which included detail for each team member on what their responsibilities were. The aim for this was to ensure that we streamlined each team members responsibilities, so that they could focus better. During this session IB had advised that he would be bored with what he had been asked to complete and was asking for more work to be given to him. There was a slight adjustment made to IB's responsibilities, which included managing the teams email inbox, but not the level of additional work IB had asked for, as he would be over loaded.

I emailed IB multiple times for an update on a piece of work that he had not met the deadline for and he continued to ignore my contact.

During IB's last supervision session on 18 October 2022 I had requested that IB provided updates on multiple things, which included his registration for the DBS update service, which he advised me in July he had completed, his timesheets dating back to July 2022, updating the intranet with his correct information, updating his outlook calendar and Cyber Security Training. I also advised IB to ensure that if he does not understand an email received from myself, that he clarifies with me what he is unsure of.

On 21 October 2022 during our team huddle we reviewed how the team were finding our interim team plan arrangements to identify if anything needed to be reviewed / changed. During this meeting IB had advised that because he had been delayed with completing some of his responsibilities as he had been involving himself in other actions that were not his responsibility. I reminded IB again that he has his own responsibilities which he should be focusing on and he is reducing his own capacity to support his own team. I reminded IB again that any enquiries which are for the Brokerage Team to deal with should be passed on as soon as they are received.

I received no updates from IB as requested and followed this up again, in an email on 27 October 2022 asking for updates on all of the above, including discrepancies in his timesheets submitted and referencing that I had not received his completed stress risk checklist, which was a recommendation following his occupational health meeting, which

would identify how I could support him. I asked IB to respond to that email by COP 31 October. This was ignored.

On 02 November 2022 the team continued to receive phone calls from a provider that IB had involved himself with and I had asked him the week before to advise the provider that his enquiry had been passed on to the Brokerage Team who would respond to his enquiry and that any future enquires should be directed there. Following the continued contact from this provider, asking for IB directly, I asked IB if he had emailed the provider last week as requested. IB ignored me and I asked him again and he advised not as he was not going to add fuel to the fire. I asked IB again to email the provider as I had requested the week prior and followed this up on the same email trail, detailing that we would continue to receive unnecessary calls as the provider had not been made aware where to direct their contact to. This displays poor customer service and is another example of IB involving himself in something that he is no longer responsible for despite being advised not to on numerous occasions by myself and other managers. IB eventually sent an email to the provider that day.

On 02 November 2022 I followed up on this again with IB, advising that I had not received a response from him. IB responded the next day with a rude email, disputing some of the information I had included and advising against some of the actions agreed and documented during his supervision session on 18 October 2022.

On 03 November 2022 I arranged to meet with IB in person that afternoon, following his email response received that day, particularly due to the tone of the email which gave me cause for concern.

IB's behaviour towards myself continued to be disrespectful, dismissive, and not taking accountability for his own actions. I can share notes taken from this meeting which were shared with IB, but to reference IB in the first point we spoke about, as I was typing to capture everything we discussed, I had asked IB to repeat the final part of what he said, which was related to supervisions and him believing that these are completed if you want to progress, which he believes he cannot as he is outspoken, IB responded with 'I've said it once Sophie.'

During this meeting I asked IB how we can move forward and he did not answer my question or provide any suggestions and instead asked to speak off the record, which was around the process of him moving to the Client Finance Team.

IB does not answer questions which are posed to him and he deflects to talking about something completely irrelevant and even when brought back to the relevant topic of discussion, IB will not respond and often replies with 'to be answered at a later date.'

Ian will not follow management instructions and will work on what he chooses to, including tasks that are outside of his role and responsibility. He is not a team player and continues to display a behaviour of superiority. He will often not look at me or engage appropriately when I am speaking to him.

What remedy to you want? What do you think Management should do to resolve the grievance to your satisfaction?

I do not feel that any level of mediation will resolve the concerning behaviour IB is displaying. I have addressed issues highlighted to me on numerous occasions with IB and he does not engage appropriately to remedy anything that is brought to his attention. I do not believe IB will change his behaviour and welcome advice from management on how we can move forward if that is at all possible.

I would like this grievance to be addressed formally as Ian does not demonstrate the desired values and behaviours of a council employee.

I had to take the day off from work on Friday 04 November 2022 as I could not attend work due to the affect that this continued bullying behaviour is having on my own mental health and wellbeing. I could not focus on work and I am having difficulty with continually having to deal with this on a day to day basis.

What was the outcome of your Informal Grievance Meeting? (attach any correspondence you have received)

As I have demonstrated above, I have tried to work with Ian and resolve these continuing issues on numerous occasions, but do not receive any co-operation or mutual respect from Ian.

Signed Sophie Harland

Dated 06 November 2022.

Please retain a copy of this document along with any written responses you receive for your records and future reference.

Administration Section

Date of Stage One Grievance Hearing

Officer who head Stage One Grievance Hearing

A copy of the letter confirming the outcome of the Stage One Hearing to the employee must be attached to this form.

Appendix 10

Margaret Warburton-Vaughan

From: Lisa Entwistle
Sent: 07 November 2022 11:50
To: Ian Barkley
Subject: Notes from today's Meeting (7/11/22)

Hi Ian,

Thanks for meeting this morning, here are the notes I captured, let me know if you are happy with them / want to make amendments:

- Discussed a grievance has been submitted by SH and it is evident from this, that your relationship has broken down.
- In order to complete investigations, I am asking that you transfer to the Business Strategy Team and you will come under the line management of Karen Maders until the investigation is complete and pending outcome.
- I asked why you think the relationship has broken down with SH and you responded as follows:
 - You didn't want to come to Client Finance and is part of another failed restructure
 - Conversations with the Chief Executive have taken place regarding the restructure, not by you but another person, in regards to taking a strong player out of a team, which has been weakened.
 - You feel you had built up a good rapport with clients, providers etc and feel this has had a detrimental affect on the Brokerage Team
 - You advised that you never overstep boundaries with SH
 - You also advised that you have spoken to SH recently where she went red faced, when you advised her someone asked you 'Does SH always speak to you like that?'
 - You also advised you are not happy with Brokerage telling Client Finance what to do and not engaging with the team. Case example provided NA
- I asked how the above has impacted on your relationship with SH, as this is not something that has come directly from her, she is implementing a structure that we all had consultation with.
 - You advised that your relationship hasn't broken down, you have a difference in opinion. SH wants everything done today and doesn't understand the world won't stop if it's not done and that work that affects billing and payment cycles need to be prioritised. I advised, as manager SH is prioritising business needs and allocating work based on this, it doesn't always reflect to billing and payment cycles and she is juggling expectations from her seniors when meeting deadlines.
 - You stated that things changed between you and Sophie following the staff engagement session that took place early August at Chadderton Town Hall. Following a table exercise, you were nominated as the speaker to feedback to the room and stated 'management needed to have an understanding of processes from start to finish' You advised today that you hadn't contributed to this statement and was feeding back from the group session. Following this, at your next 1:1, you stated that SH said 'How dare you say that'
- You don't feel the relation between you both is beyond fixing and if you don't get the output from the investigations you want then..... no further comment. When I asked, what do you mean, you stated being dismissed, you will feel like you will hand over your badge.
- You feel the only one suffering through all of this is you and that when you input in meetings you're accused of being negative and when you don't input, you're not engaging – you can't win!
- You have refused a SRA as you don't feel it does anything and won't change anything as they never get reviewed. I advised that this is not the case and managers should review all SRA's.
- You informed me every morning of your routine and when you're driving to work getting closer to the tram stop and on the tram, you feel rubbish and sluggish the nearer you get to work. You don't feel excited about coming to work, where as you did when working for the Brokerage Team.

Appendix 11

Grievance Statement Forms

Form 1

Stage One Grievance Statement

Name(s): Kelsey Barnes

Employee Number: 257431

Directorate: People Services

Service Area: Adult Social Care – Client Finance

Post Title: Client Finance Officer

Grade: 5

Length of Service in Post: 3.5 years. Started 11/06/2019.

COMPLETE ALL SECTIONS

What are you aggrieved about? Please be specific.

I feel that I am being targeted by a colleague, Ian Barkley.

There have been multiple occasions that Ian has belittled me or made me look stupid on purpose in front of other people in the team/office. I feel that I am unable to provide support to other colleagues without IB having to give his input and say that my advice is incorrect.

It feels as though Ian is working against the effort that the team are making when we are already under significant staffing/workload pressures. He regularly allocates work directly to me, which he should be doing himself or sending to the team to be distributed fairly.

I don't believe Ian is being this way with anyone else in the team, only myself as I have asked my colleague Wendy Whitehead and she advised he never allocates her any work.

I believe Ian takes 'shortcuts' with his work and doesn't follow processes which are in place to ensure work is completed correctly and this in turn creates further work to be corrected in the future when this comes to light. Ian often says he will do something and then doesn't, again resulting in further work for myself and colleagues to pick up in his absence.

Ian attempts to scaremonger the team quite regularly with regards to the complexity and level of work, which adds pressure to an already stretched service.

Overall I feel that Ian brings a negative atmosphere to the team, is not working in the best interest of the service or as part of the team and doesn't wish to be a part of this team and is doing his best to make this clear.

Relevant Background to the Grievance

The work has been distributed fairly amongst the team while we are under these pressures, and we have all been given our individual tasks. I have been allocated to work on completing financial assessments and one of Ian's main priorities is to complete and

[Type here]
[Type here]

[Type here]

respond to the incoming queries into the team and update them on the team's tracker. It has become apparent that Ian is doing a small part of the query and then allocating it to me. For example, a client's representative was querying an assessed contribution and the income recorded and I have not been involved in this case whatsoever. Ian was allocated the query to check the income and confirm this is correct with the representative. Instead Ian checked the income was correct via a colleague as he couldn't access the DWP system, and then once he had confirmed this income was correct and so was the assessment, he has then sent it on to me to make the phone call and have the conversation with the representative. This may not seem like a big deal however, I am also dealing with my own workload and trying to manage that, therefore I don't have the capacity to complete the work that has been allocated for him to complete. If Ian was unable to complete this I do not understand why he didn't ask the colleague who confirmed the income was correct for him to make the call, as this would make sense rather than involving three people in one query. Instead, he chose to send this to me.

Ian has also made comments on multiple occasions, about how badly the Financial Assessment Benefit Uplift (FABU) exercise has been completed the past 2 financial years. Ian was not a part of our team during the FABU process for 2021 and 2022 however is aware of the process due to previously working in the brokerage team. I took on the task of leading on the FABU process for the first time in 2021 as a colleague that previously led on this moved to another service. I'd had no prior training from the colleague, so I was learning as I was doing the process, with the support of my manager Sophie Harland. I then led again on the process in 2022 with a bit more experience but still not 100% confident in my ability, as Ian had made comments over the year about how 'he would have done it differently' or 'I should have done this or that', never really anything constructive. After the whole exercise had been completed, Ian began to make comments about how things were missed and that he sent information over to managers about what needed to be done so that this didn't happen, but after checking with management, no guidance had been sent over by Ian for me to use. I have explained to Ian each time he makes a comment about the FABU process that I have only ever done this process twice, and I am still learning and that if he feels he would like to lead on the process next time he is more than welcome, but he always says no, so I ask him not to keep making comments about how badly I handled it, if he is not willing to do this himself.

A few months back, there were two occasions in one week where Ian had undermined my advice in front of people, or loud enough that people heard, which felt like a deliberate attempt to make me look silly or unintelligent. The first, a colleague Keith Miah was asking for advice on raising credits as this was a new task to the team at the time. I had undertaken some training with Ian (he did this in brokerage so had experience) and typed up a training guide on credit notes, which Ian knew I was going to be doing following our training session together. Keith then was going to use the credit note guide to see if he could work through the process. Ian stated in front of at least 4 other colleagues 'I wouldn't use those notes, there will be something missing, and you'll do it wrong'. So I advised him that those notes were from his training and if there was something missing he hadn't told me about it and Ian didn't respond. The other example was a colleague from the COP team was asking me how to find the full amount of a care package cost. So as I was showing her, Ian got out of his seat to walk round to her desk, while I was there helping, and said 'I wouldn't ask Kelsey that yet, she hasn't been shown that side enough to show you.' Which I have, as I have been doing this role for 3 years, I am confident in my ability to locate the cost of a care package. This example was heard by at least 2 other colleagues and Rachel who was asking for the advice.

In our team, case notes are extremely important for our evidence base. Ian rarely puts case notes on any of the cases he is dealing with, therefore on the days where he is not in, if someone calls about something he was dealing with, it's extremely difficult to support and often the client is left waiting or we are unable to try to resolve their issue and they become frustrated. An example of this, a solicitor was in touch regarding a client on the deferred payment scheme as they were selling the property and required a redemption statement to enable completion of the sale. Ian had been dealing with this the previous week and was going to send this over. The following week the solicitor got in touch to advise they hadn't received this, so they asked to speak with him. Unfortunately, Ian was on leave when the solicitor had got in touch so I tried to support, however I couldn't find the information required so I advised I would ask that when Ian was back in, I would ask him to get in touch to discuss this and provide the redemption statement, which I did. A further week, I took another call on the duty phone, from the solicitor asking to speak with Ian to handle the redemption statement, I advised I had believed he would have done this as I sent it the previous week to action. The solicitor was getting frustrated as the sale was due to complete and this information was still not with them. I spoke with Ian again and asked him to do this and it was eventually done. This could have resulted in the completion being delayed and potentially a complaint as the client will have incurred further fees.

A few months back, we had a team planning session for everyone to give their suggestions and opinions on our way of working in the future. Each individual was given the opportunity to provide their opinion on each area of the work and the suggestions, however when Ian was asked, he advised he didn't have an opinion but then proceeded to provide his opinion and each time it was a negative response and suggesting that Sophie Harland (our manager) had not considered all factors within her plan which left an awkward atmosphere for us to sit in, as he was blatantly being obstructive to the conversation.

What remedy to you want? What do you think Management should do to resolve the grievance to your satisfaction?

In all honesty, I do not feel that I can continue to work with Ian Barkley. I come to work to work, not to feel like every action/piece of advice is being scrutinised by a colleague of the same grade as me. I feel that Ian does not want to be a part of this team and is evidencing this daily.

.....
.....
.....
.....
.....
.....
.....
.....
.....

What was the outcome of your Informal Grievance Meeting? (attach any correspondence you have received)

.....
.....
.....

[Type here]
[Type here]

[Type here]

.....
.....
.....
.....
.....
.....

Signed Kelsey Barnes

Dated 17/11/2022

Please retain a copy of this document along with any written responses you receive for your records and future reference.

Administration Section

Date of Stage One Grievance Hearing

Officer who head Stage One Grievance Hearing

A copy of the letter confirming the outcome of the Stage One Hearing to the employee must be attached to this form.

Form 2

Stage Two Grievance Statement

Name(s)..... Employee Number

Directorate Service Area

Post Title Grade

Length of Service in Post

[Type here]
[Type here]

[Type here]

Confidential

Witness Statement

Name: Sophie Harland

Occupation: Team Manager - Client Finance Team

Work Place/Location: Oldham Council

Date: 16 August 2022

Present: Margaret Warburton-Vaughan – Investigation Officer
Ann Edwards – HR Support to Investigation officer
Sophie Harland – Client Finance Team Manager

Date Reviewed: 25 October 2022

Present: Margaret Warburton-Vaughan – Investigation Officer
Julie Kippax – HR support to Investigation Officer
Sophie Harland – Client Finance Team Manager

Introduction:

Thank you for attending today.

I have been appointed as the investigating officer in relation to an allegation regarding concerns over the unacceptable attitudes towards other staff on the team and within management by Ian Barkley.

The purpose of today is to obtain further information in relation to the allegation(s) which may potentially lead to a hearing under the Disciplinary Procedure.

I have some questions that I would like you to respond to as a witness to part of the allegations raised against Ian. You will have the opportunity after the questions to add anything further in relation to the matter under investigation.

Following this process, a statement will be typed up and sent out to you to sign as a correct record of the discussions held. If you feel that you wish to make any amendments, then these can be attached. The statement provided may be used as part of any disciplinary hearing, appeal process or Employment Tribunal.

In the event of a formal Disciplinary process you may be required to attend any disciplinary hearing as a witness (if required).

Questions

Q1	MWV	You were afforded the right to representation at both meetings can you confirm you were happy to continue unaccompanied?
	SH	Happy to continue.
Q2	MWV	Can you give us examples of Ian Barkley's inappropriate behaviour when speaking to colleagues and managers and what has led to the allegations and this investigation?
	SH	<p>The way Ian interacts most of the time is knocking people's confidence and he can be-little people. I feel that Ian thinks that not everyone does a good job, or they don't know what they are doing. There are training gaps in the team that are being addressed by myself, but Ian likes to point out issues all of the time to the team and especially to and about Kelsey Barnes and I feel that Ian singles Kelsey out in particular, as Kelsey has raised concerns with me separately.</p> <p>The team are coming to me all of the time with incidents and issues relating to Ian, where Ian has said something inappropriate.</p> <p>Ian is constantly up and down with his behaviour and will often make mistakes himself however, he constantly points out failures in the rest of team.</p> <p>Ian has advised he does not want to be on this team I have asked him what elements of the role would interest him and I asked if he wanted to do the debts he said yes (Supervision notes 19 April 2022) then in Ian's next supervision he didn't want to do it (Supervision notes 31 May 2022).</p> <p>Ian will often ask questions to delay getting work done.</p> <p>I feel Ian has no consideration of how he makes the team feel with his inappropriate behaviour.</p>
Q3	MWV	Can you be more specific about incidences that have happened with Ian relating to Kelsey?
	SH	<p>Kelsey's mum (Angela Barnes) works in the service and Ian will often make comments that are derogatory about Angela, to and in front of Kelsey. Ian has previously worked with Angela and shares his opinions about Angela with me.</p> <p>26 July 2022 – Ian's supervision notes reminded Ian about speaking to Kelsey about Angela in front of staff this has been denied by Ian saying "it is not my style" but I have witnessed comments Ian has made.</p> <p>Ian will often, daily, make comments to me about Kelsey for example, Ian will say Kelsey won't be able to do something as she doesn't understand it.</p> <p>In a supervision with Kelsey on 21 July 2022, Kelsey advised that she feels Ian is listening to all of her calls and questioning what she is doing. Ian shakes his head when Kelsey talks and will interrupt Kelsey when she is providing advice to a colleague. For example, Kelsey stated she was discussing credit notes with Keith Miah and Kelsey advised that Keith should utilise her notes</p>

		<p>and Ian laughed and asked to see them, stating something will be missing on them and they will be wrong.</p> <p>Kelsey advised she does not want to ask Ian for help as he tries to embarrass her.</p> <p>Kelsey sent me an email regarding concerns she has in the office with Ian's behaviour towards her on 29 July 2022.</p>
Q4	MWV	Can you tell us about the email you received from Kelsey (29 July 2022) regarding concerns in the office?
	SH	<p>Kelsey sent an email to me regarding how upset she is becoming about Ian and his behaviour towards her, he is becoming particularly difficult with Kelsey and is picking up on every tiny little thing that she does, he constantly comments on what she is doing and implies that she is doing something wrong. Although Kelsey does try to ignore him Kelsey has felt that Ian has on more than one occasion made her look stupid in front of the rest of the team. Kelsey highlighted two incidents that happened in an email.</p> <p>Example 1. Issue relating to questioning Kelsey's work in front of colleagues and Kelsey feeling that Ian was trying to make her look stupid.</p> <p>Example 2. Occurred on the 29 July 2022 prompting Kelsey to send the email to me. This was a further occurrence of Ian questioning Kelsey in front of colleagues.</p>
Q5	MWV	How did you respond to Kelsey's email?
	SH	I responded to Kelsey to let her know that I will support her to ensure that her working environment is a happy and safe place to be. I advised Kelsey to let me know as and when things are happening.
Q6	MWV	Why did you not advise Kelsey to take a further action like a grievance?
	SH	<p>Because I felt it appropriate to deal with each incident as it happens, and I have reassured the team that matters are being addressed and dealt with. I am working with Kelsey because I am aware there are training gaps, but we are working through them as a team.</p> <p>I will raise concerns with individuals and deal with anything each time something happens, I've told everyone they can come and have a conversation with me about any concerns in the team this includes Ian.</p>
Q7	MWV	Can you provide any other incidences of Ian's behaviour that have happened with other members of the team?
	SH	<p>Ian will often refer to team members that other people are drowning and he will often say this about Keith.</p> <p>28 July 2022 In the team training planning session Ian wasn't fully engaged his body language was off and he was saying his work ethic was different than everybody else's. Ian was trying to over complicate work which has a negative impact on the team.</p>

		<p>Ian was advised by SH in the team meeting that we work as part of the team, that we are having a meeting to develop the team and what is his response to the question posed.</p> <p>Ian intimidates other team members when explaining any of the processes. For example, Ian was explaining something to Wendy Whitehead about updating the client contributions and he was over complicating the process, to make Wendy look incompetent and concern Wendy.</p> <p>13 June 2022 - Ian and I were going into a meeting room where another department manager was getting ready to leave, Ian said to the manager you can use the room as we will only be 2 minutes in a very sarcastic tone, he was very rude about this and me and it was extremely disrespectful. I advised the manager that we will be longer than two minutes and Ian said again, 'No we will only be 2 minutes.'</p> <p>Ian will not consider everyone's thoughts and feelings; he is dismissive and will frequently tell me how I should be managing the team and how I should be managing the training requirements.</p> <p>Ian will often purposely confuse people as I feel he does try to deliberately disturb everybody by interfering with what they are doing instead of concentrating on his own tasks. Because of this I feel he is not putting the customer first nor that he has any respect for the customers or for colleagues.</p> <p>Ian always wants to find shortcuts and he is always criticising people with less capabilities, we have processes in place for a reason and things could be missed and actions may be compromised as there could be financial risks if not appropriately followed or recorded correctly.</p> <p>The team needs to feel secure and not intimidated or embarrassed.</p> <p>Ian is more than capable of this job but he is not the only one that can do this job, he needs to get on with his own work rather than getting involved with things that are not expected of him, unless I have directly requested it.</p> <p>However, Ian has spoken fondly of Wendy, and he will often be civil to the other team members. I do feel he tends to single Kelsey out more and undermines her.</p> <p>Kelsey has said that Ian is really disrespectful and that he speaks to me awfully.</p> <p>I feel that we will end up short staffed because of his behaviour as it is quite waring for staff and staff say it is exhausting.</p>
Q8	MWV	What are you doing with the team to support them?
	SH	<p>29 July 2022 meeting - I had identified the training requirements for the team, and I've been building a skills matrix so we can split the work and train each other. During this session Ian went off on a tangent about this and did not engage as required, to ascertain everyone's opinions on how the team should manage our workload responsibilities.</p> <p>I always ask for everybody's opinion and to be honest Ian would potentially have been identified to train the team on most areas of recharging because</p>

		<p>of his knowledge of the processes. However, Ian knew this at the meeting we had about training, and he behaved superior claiming that he can do everything and no one else can, this is not the case, he was obstructive and difficult and caused team morale to become very low.</p> <p>During this meeting 2 members of staff (Kelsey and Wendy) felt uncomfortable Ian was rude and they were ready to walk out because of how Ian made them feel, which they have advised me about afterwards.</p>
Q9	MWV	Have there been any incidents that have involved other managers or other teams within the council?
	SH	<p>On more than one occasion Ian has been disrespectful to me in front of Angela Barnes, Kim Simister & Liz Taylor.</p> <p>I believe that Liz has had a few dealings with Ian not completing work correctly prior to my management.</p> <p>Ian is loud when criticising and now that the brokerage team are with us in the same office, I feel that Ian now has a bigger audience, to loudly intimidate the team.</p> <p>When I treated the team to pizza for the good work that they have been doing, Ian refused to have any and said out loud in the open plan office, that 'he won't be bought', this was heard by other teams and management but not by myself, staff advised me of his comment.</p> <p>13 June 2022 - At the staff engagement conference held in Chadderton Town Hall Ian spoke in the open forum to around 100 people and insinuated that management do not know what they are doing.</p>
Q10	MWV	Are there any situations that have arisen where Ian did not follow a management instruction?
	SH	<p>Ian will not follow management instructions.</p> <p>We had a meeting to discuss Mosaic workbook reviews and Ian was saying it's not right for the new structure to do things this way. I advised Ian that we could meet to discuss his suggestions and a meeting was scheduled (14 June 2022) to discuss the workbook reviews and Ian did not attend at 9.30am. I contacted Ian at 9.33am and his response to not attending was "not sure what I can bring"</p> <p>We had a meeting about recharge changes this was a teams call and when the call ended Ian said 'this management couldn't organise a p**s up in a brewery', this was said out loud in the open office despite his letter of concern and me talking to him in supervisions about saying disrespectful things in the office.</p> <p>Ian was tasked to send out a provider contract regarding a contract complaint. Ian didn't respond at all to the family's enquiries on multiple occasions, which resulted in a complaint being escalated to AD's. He was also asked to send out a contract to the provider, as an outcome of the complaint to facilitate missing payments, but he never did this either. When he was asked why this hadn't happened, he said he needed clarification from me. Ian has never contacted me to clarify anything to do with this, despite me reminding him</p>

		<p>multiple times it needs to be done. Ian is coming up with excuses all the time to delay doing work that is asked of him. Delaying things like this affects the relationship with the provider and no action means the provider doesn't get paid.</p> <p>The CHC spreadsheet needed information adding by Ian, Ian ignored this, ignored me, and continued to work on things that are not his responsibility despite me chasing. Ian at this time was completing an out of borough request form that the brokerage team should do, not Ian.</p> <p>Ian does not update notes on Mosaic even though this is an essential requirement of the role. The impact being no audit trail and difficulty to audit actions if there are no notes it has not happened.</p> <p>Ian's role requires recording data on the master recharge spreadsheet for the CHC recharge, if we don't complete the information this means no information is available and finance are not aware of our position. Ian says he cannot do this task because he says that 'he won't be part of false accounting'. He wants to work out of protocol and has stated that the council have ulterior motives regarding their targets and debts I have reassured Ian that we will not be part of any false accounting.</p> <p>Ian was asked to spend time recording credits relating to previous financial years. Ian has said this is not his role.</p> <p>Checking the figures of the recharge in the billing cycle is a task that potentially Ian is the only one that can do this fully, I also asked Ian to update the dates and the queries, as part of the process. Liz Taylor also asked him to do this. Ian did not do this. As of today, it still hasn't been done. As part of the redesign others need to learn this, and the task needs go on a monthly rota.</p> <p>As we have flexible start and finish times, I have no problems with Ian's time keeping however, Ian does take lengthy breaks and will often go out for 30 minutes, I feel this is unreasonable and he does not record it on his timesheet. I have asked that he does this, so this might be reflected correctly on his next time sheet.</p> <p>Ian has complained that if we have any calls for the brokerage team that we should deal with it rather than pass it onto the brokerage team. I have explained that we all have our own responsibilities, and the brokerage team needs to deal with their own queries. Yet he still deals with it rather than passing it on, this is not part of Ian's responsibilities.</p> <p>Currently there are 900 pieces of work not completed by Ian that he has been requested to undertake.</p> <p>I have asked Ian to update the Intranet with his correct details, he has been asked multiple times to do so, it is still not done, Ian is ignorant to requests from management.</p>
		<u>Additional questions presented at the interview 25 October 2022.</u>
Q11	MWV	Can you advise what training the team have undertaken in order to fulfil their responsibilities of their role?

	SH	<p>From the skills matrix undertaken I have identified that Ian needs training on financial assessments and deferred payments. Scheduled shadowing sessions were to take place on 10 October 2022 (am) and the 13 October (pm).</p> <p>10 October 2022 - I was not in the office and Ian did not attend the session and no update was provided to me that the session did not take place.</p> <p>13 October 2022 – I met with Ian (am) to discuss some work and he stated he could not do the session planned as he learns by doing things himself. I advised he still needed to attend and when I asked about timings for the training Ian approached me about being unable to do the training.</p>
Q12	MWV	<p>Are there any further recent incidents of Ian's behaviour being disrespectful towards colleagues or not following management instructions in relation to work requests?</p>
	SH	<p>25 October 2022 - have identified query that came in 26 September 2022 on query tracker the client has passed away and the notes have been input as client deceased and closed on the query tracker by Ian. No case notes have been updated on MOSAIC. I have chased today, and Ian advised that he was 'letting the dust settle' before contacting the clients wife. There was no reference to Ian following up on this and he did not advise how and when he was going to contact family when asked. He had closed the query down and there was no evidence of a follow up.</p> <p>I have reminded on numerous occasions for Ian to register for the DBS update service, to date this instruction has not been complied with. I have asked for an update with a deadline and also raised this in Ian's supervision and this has still not been done. A further occasion of not complying with a management instruction. I was led to believe by Ian that this had been done in July 2022.</p> <p>In relation to time keeping, I have received Ian's timesheets there appears to be a discrepancy in the timings e.g. 28 July 2022, Ian was away from his desk from 3.30pm to 4.00pm this is not reflected on the timesheet. Other people have commented on the amount of lengthy breaks Ian takes.</p> <p>In our huddle on Friday 21 October 2022, I asked the team about interim ways of working, all the team were OK, and Ian brought up a query that he should not have been dealing with which he advised has been taking up his time, meaning that he has not been meeting the deadline for responding to some queries.</p> <p>21 September 2022 Ian was asked to look at 12 CCG queries with a deadline of the 28 September 2022, this was not done, a further deadline of 30 September 2022 was given, I have been chasing for an update with no communication in response. The impact of not dealing with these enquiries is there could be financial implications for the Council.</p> <p>A financial transaction has only just been identified from 12 months ago which resulted in Ian taking the decision to write off an element of a debt, this is not following protocol and he does not have the delegated autonomy to undertake such action. There was no recording for audit trail on MOSAIC. The implications of such actions are that client finance brokerage and credit</p>

		<p>finance control have had to raise this as a query to be investigated due to the loss of income for the council and the additional resources in investigating this query. Ian does know the process of writing off debt and who can make those decisions.</p> <p>I have requested that Ian updates his outlook calendar, this is not being done.</p>
Q13	MWV	How does Ian's behaviour towards you make you feel?
	SH	<p>I find Ian's behaviour frustrating rude and ignorant, the amount of time of managing Ian is very time consuming, it is difficult in having to chase and Ian not following my management requests.</p> <p>I feel Ian is always looking for problems and criticises and works against the team.</p>
Q14	MWV	How do you feel Ian's behaviour impacts on the team?
	SH	Ian's behaviour is waring, tiring and staff still raise issues about Ian.
Q15	MWV	In a supervision with Ian it was documented to refer Ian to Occupational health can you advise of any recommendations that the report have stated for management to consider?
	SH	<p>The report advises to undertake a Stress Risk Assessment which I have provided the checklist for Ian to complete. This has been chased but not yet returned as of 25 October 2022 for management to be able to support Ian.</p> <p>I have tried to support Ian and asked him what he would like from the job to be able to look to accommodate supporting him in his role.</p>
Q15	MWV	Anything else you feel you can add?
	SH	No I have nothing further to add in relation to Ian.

I confirm that this is a true and accurate account of our discussion.

Date: 02 November 2022

Signed: Sophie Harland

Appendix 12 b

SH

Timeline

08/03/2022 – Discussion held between LE & IB on approach and that LOC would be issued if



March 2022 Ian
Discussion LE.msg

this continued.

27/05/2022 – Discussion held between IB & SH regarding approach when speaking to and about colleagues and managers.



IB LOC.pdf

09/06/2022 - Letter of concern issued.

13/06/2022 – Meeting 1.45pm regarding work priorities as backlog of 924 Client Contribution updates was shared in Friday 10 June's 3pm huddle. Said to Kevin Howarth who was just leaving the room 'Don't worry Kevin, we will only be 2 minutes.' I said we won't, we will be a good 10 / 15 mins and then again said Kevin we will be 2 minutes. Not completed mandatory training by deadline of 10 June – stated not available on the system and IB had not raised this at the point of establishing this. (Still incomplete as of 26 July 2022 – see supervision notes from this day)

- I'm just deciding what pace I want to work at.
- I don't really speak to Kelsey other than asking her why haven't you done this?
- I am surprised, you are surprised at Client Contribution figure when I spoke to you Weds morning and advised I had 400 in my work and 450 in team work. (IB was supposed to be completing these Thursday and Friday, so would have expected the figures to reduce if 924 is a week's work and they are being added to daily at a lesser rate than completion)
- I was waiting for you to throw at me, which is good that you haven't (in relation to ensuring all client contributions are updated) the billing cycles, as that is what I work to. I overheard IB speaking to Brokerage Team later that day and asked when non res billing cycle is, and they advised it had already ran the day before.

14/06/2022 – Meeting arranged for 9.30am at my desk to talk through MOSAIC work box changes between Brokerage and Client Finance Teams as Ian had advised that we had not considered everything. 9.33am I messaged Ian asking if he is coming over to my desk for 10 minutes as it will not take the full hour booked. Reply from Ian stating, 'Not sure what I can bring' and nothing further.

14/06/2022 – Flexi time sheet finally received for the previous period, without cigarette breaks on there. IB asked to ensure his time sheet for the current period includes all breaks. IB emailed back and asked what breaks I am referring to.

15/06/2022 – IB speaking to Keith 'I know you're not a smoker, but we need a chat.'

15/06/2022 – IB advising that SH had informed KM incorrectly to put a nil contribution on for a client we are not to charge until today, and then applying the correct contribution from today. Was not incorrect, IB involved himself in something that was not anything to do with him. SH picked this up with KM straight away in private.

16/06/2022 – Email from LD team stating credits not raised as requested 31 May 2022. Client called advising bailiffs will be coming after tomorrow. SH called client to apologise and re-sent to Ian to complete by the next day (17/06/2022) Non res invoices charges still open and no credits raised.

16/06/2022 – Asked IB in person to send through CCG debtors spreadsheet by COP Friday that week. IB advised he will he just has some tidying up to do on this.

17/06/2022 – IB notified as conduct continued, he would now be in a 4-week monitoring



220607 LOC 4 week
monitoring.msg
period.

21/06/2022 – CCG debtors spreadsheet still not received. Asked IB in person for this, in the morning. Not received either by COP 21/06/2022. Asked IB if he was meeting with SB CCG face to face tomorrow, he advised no, but did not engage with me other than that, does not look away from screen.

27/06/2022 – IB woke up with severe chest pains and had emailed in the early hours of the morning advising he would be taking today as leave and would seek medical attention if required. SH responded to IB and asked that he called her during the day, but he did not. IB advised he saw SH's email but was in a lot of discomfort. The day was not sick, has been taken as annual leave.

28/06/2022 – IB returned to work, albeit in some discomfort, but wanted to be in work. Really positive supervision session and acknowledged he had been great with the team last week and that it was nice to see. SH offered IB early finish due to being in discomfort, WFH etc that day and week but he advised he did not wish to do so. Confirmed work priorities and that IB should be able to finish early today after completing the couple of tasks he was



220628 Supervision
notes emailed.msg

working on, but he decided not to.

07/07/2022 – Helping and supporting Brokerage Team due to sickness absence. Also completed some training for a member of that team on a purchase query. Workload of priorities agreed in the morning to be clear. SH requested info to be shared on CCG Accruals identified yesterday.

08/07/2022 – Supporting Brokerage Team with CCG billing cycle and DP Audits – completed approximately 60.

14/07/2022 – Meeting with SH & IB re CCG reconciliations. IB talked SH through the master spreadsheet and SH asked for this to be shared so she could include a page to pull all info together for reporting purposes. IB advised that it was not going to be done that way and it was going to be done his way and that Oldham Council interfere with things and add too many spreadsheets etc. SH advised that she was going to look at what IB had done, and it was going to be done appropriately for reporting purposes and would not include multiple spreadsheets. Also reviewed a couple of queries for unpaid invoices and IB was not clear on why he would raise a credit if he had not completed a full investigation into a case. SH asked if he would not review all invoices raised and then work back from what should have been raised against what had been paid. IB advised this would be around 39 invoices. I asked IB to discuss with SB (CCG) and she advised it was due for payment. No credits would have been required although this was the action IB was going to take.

20/07/2022 – IB notified he required an early finish at 3.30pm as he had an interview.



220720 Early finish
request for interview

21/07/2022 – Supervision session with KB where KB advised that IB had been difficult with her and shaking his head when she spoke. KB also believes that IB is listening to all of her calls and questioning what she is doing. KB was discussing credit notes with KM and advised

he should utilise her notes and IB laughed and asked to see them, stating something will be missing on them. KB advised she does not want to ask IB for help as he tries to embarrass her. On another occasion IB interrupted where KB was providing some advice to a colleague and IB advised KB requires more training on this. KB wonders why it is only her that IB treats like this within the team and thinks it may be due to her age / because she is female. (Copy of KB supervision notes can be shared if required).

26/07/2022 – Advised in supervision now out of 4-week monitoring period. Also advised during this session not appropriate to speak inappropriately about other staff, particularly AB in front of KB, as this brings the morale down. IB advised that it's not his style to speak about AB in front of KB...

IB advised in supervision session that he would like to bring his annual leave forward by a week (to commence 15 August 2022) SH asked for this to be changed by COP that day, so we knew where we were up to with annual leave as is busy over summer period. Not completed as of 29/07/2022. Note the discussion around requirements to case note credit notes for CCG invoices for audit purposes which IB was in disagreement with.



220726 Ian Barkley
Supervision notes e

27/07/2022 – Ignoring emails requesting updated CCG annual projections for 2 x clients to share with finance colleagues for budget monitoring purposes. Chased on Teams – response



220727 CCG master
chased.msg
below.



27/07/2022 – SH informed by staff working in the office IB spent some time this day passing written notes in the office with AM (leaving the service 29/07/2022) and disappearing to a kitchen at the other side of the floor.

27/07/2022 – Completing OOB request on MOSAIC and sent OOB check to home – not IB's



220728 JS 446708
OOB contract involv
role.

28/07/2022 – Still no update received regarding the above CCG request as of 29/07/2022.

28/07/2022 – Approach in team training planning meeting. Two members of staff have commented, advising was rude and one was ready to walk out due to how uncomfortable IB made them feel. Has made some team members concerned with work requirements, as they were suggested to be overcomplicated by IB – one example client contributions and changes to care. Not complicated, there are many changes in care and support services, and we are notified to ensure the correct contribution is charged. Team member then reassured following our private conversation. I have notes from this session which include IB saying he has a different work ethic to everyone else.

28/07/2022 – Speaking with NC in commissioning about D2A process which he is not involved in. SH asked NC if he had any concerns to raise and is that why he was speaking with IB? NC advised not and he did not know what IB was talking about. NC advises he was asked by IB to email Helen Ramsden about this. SH advised this was not required and confirmed that there was nothing for NC to be involved with.

28/07/2022 – 30-minute cigarette break 3.30pm -4pm. (For SH info only to monitor to see if is updated on timesheet in this flexi period. Has been on lunch breaks and other breaks not long before this one. Also advised of lengthy breaks of the same period on 29/07/2022).

28/07/2022 – Advising something had been done incorrect by SH on a DP Audit, which was not true and speaking to a broker about a direct payment, which is not IB's role.



220729 DP Audit
invoice email.msg

29/07/2022 – Was asked to update the query tracker with date completed for a credit raised 26/07/2022. As of 29/07/2022 still not updated. All queries for the CF Team are logged on a query tracker and updated with a 10-working day deadline and date of completion for monitoring and reporting purposes.

29/07/2022 – Speaking disrespectfully to staff member KB in relation to a credit note enquiry stating, 'You need to be clearer as to how many credit notes you need posting out because I'd have just sent one based on that and then the blame would be on you.'

29/07/2022 – Not responding to enquiries completely, not copying all required to be



220729 Emails re
debt case.msg

included for an update. Not logged on the query tracker



220729 KB concerns
shared.msg

29/07/2022 – Concerns email received from KB – SH response included.

29/07/2022 – Request to send contract to care home for 2 months payment, as an outcome of a complaint not completed. Requested to be actioned by COP 29/07/2022 and



confirmation sent to SH. Not received or completed.

220728 IT contract
request.msg