



BEE ACTIVE

Non-Compliance
Employee Guidance

Contents

1. Purpose of non-compliance
2. Who it affects
3. The process of a non-compliance report
 - 3.1 Submitting a non-compliance report form
 - 3.2 Acknowledging an non-compliance report
 - 3.3 How is a non-compliance report assessed
 - 3.4 Non-compliance report review
 - 3.5 Non-compliance report meeting
 - 3.6 Outcomes of a non-compliance report
4. Logging & reporting of non-compliance reports
5. If you are dissatisfied or wish to air a grievance in relation to the NCR against you
6. Non-compliance process feedback

1. Purpose of non-compliance

At Bee Active our mission is to inspire the children of Stoke-on-Trent to value physical activity through outstanding education and positive experiences.

For this to happen employees need to empower themselves and others to be accountable and to recognise success & failures, to strive for continuous improvement through personal development and to have an innovative approach to how we do things.

For those Company and regulatory standards to be met we demand that our team act with integrity, to take pride when wearing our uniform and to have ambitions of being successful.

The purpose of highlighting non-compliance is to empower employees to be the catalyst for improvement and excellence. The reporting of non-compliances enables us to understand the reasons behind non-compliance, implement change where needed and to maximise performance across all areas of the Company. It also enables us to ensure that we are compliant with all regulatory requirements as a Company.

2. Who it affects

The Business

Every business has rules, regulations and standards to adhere to, to operate lawfully. At Bee Active our regulators and governing bodies include the Department for Education, Ofsted, the Health and Safety Executive, Local Authorities, National Governing Bodies for Sports, Association for Physical Education, Sport England and HM Revenue & Customs.

Failure to adhere to the rules and regulations set out by regulators and governing bodies could lead to custodial sentences, heavy fines, damaged reputation and even business closure.

Employees

Non-compliance for employees relates to the company mission, values, behaviours, policies, procedures, standards and expectations.

As Bee Active employees, we act with integrity and are able to celebrate both success and failures. Highlighting and celebrating failures gives us a fantastic opportunity to learn and grow. We should see our failures as a chance to develop personally and be innovative in the way we approach the future.

We are all accountable for identifying NCR's and take pride in acting on them which highlights our ambition of inspiring the children of Stoke-on-Trent to value physical activity through outstanding education and positive experiences.

Employee non-compliance could lead to injuries, safeguarding concerns, damaged reputation, loss of business, poor customer care, operational disruptions, financial losses, heavy fines, disciplinary or even dismissal.

Our mission is to inspire the children of Stoke-on-Trent to value physical activity through outstanding education and positive experiences.

Our Values underpin our culture and drive the 'bee-haviours' of our team

Empowerment + Improvement = Excellence

Clarity
Clear communication.

Teamwork
We are stronger together.

Accountability
If it is to be, it's up to me.

Recognition
We celebrate success & failure.

Personal Development
I'm the best I can be.

Well-being
We walk the talk.

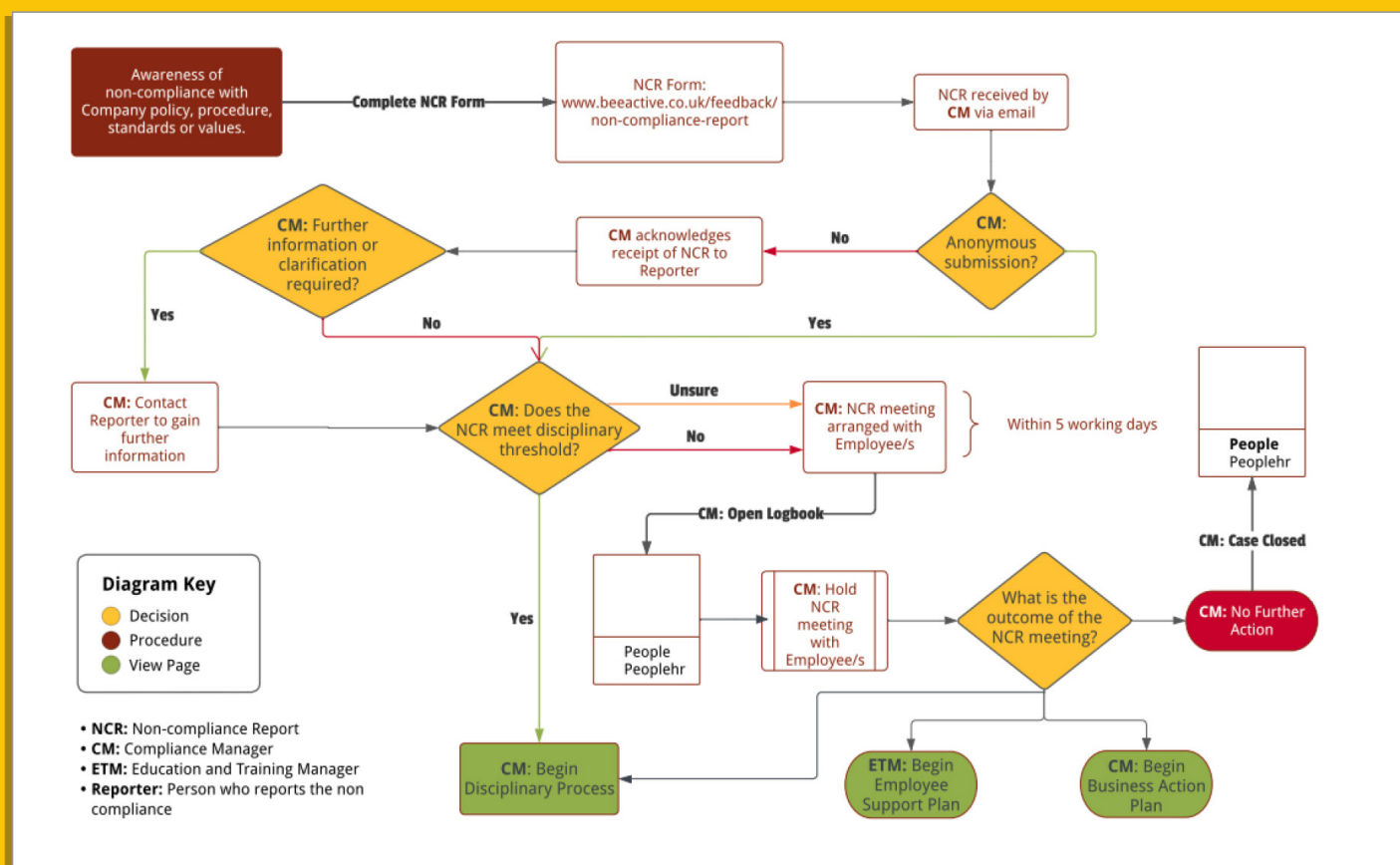
Innovation
We find a better way.

Integrity
We do the right thing.

Pride
We do things right.

Ambition
We are successful.

3. The Process of a non-compliance report



3.1 - Awareness of and Submitting a Non-Compliance Report Form

Should you recognise something or somebody that is non-compliant to Company values, policies, procedures or regulatory requirements you should complete a [Non-compliance form](#)

If you are unsure if something or somebody is being non-compliant then please speak directly with your line manager or the Compliance Manager.

Should you wish to remain anonymous, then please submit the NCR directly through the web

link with as much detail as possible, ignoring the 'Your Details' section.

NCR's will always be completed by a Bee Active employee, however, sources of non-compliance include; customers, Bee Active employees, Bee Active management team, a member of the public or a supplier. Where non-compliances are reported externally through email or message, the Compliance Manager will transfer this to the internal web link above for reporting purposes.

3.2 Acknowledging an NCR

All non-compliance reports will be received by the Compliance Manager via the non-compliance web link above.

If the reporter of the NCR is known, the Compliance Manager will acknowledge receipt of the report and clarify the report details with the reporter via email, phone or face to face. The Compliance Manager may ask for more information regarding the NCR where necessary.

If the NCR is anonymous then the Compliance Manager will review it and decide whether it meets the disciplinary threshold.

3.3 How is Non-Compliance assessed?

Non-compliance is assessed in relation to the risk to the business, its customers and/or its employees and in relation to Company values, policies and procedures.

The three major risks of non-compliance to businesses are hefty fines, reputation damage and/ or legal action. Other major risks include injury to staff or participants, a safeguarding concern, loss of business or operational disruptions.

Relevant action will be taken once the non-compliance report has been reviewed and risk determined. Recurrence of the same NCR may also lead to the outcome being escalated.

3.4 NCR Review

The Compliance Manager will review and decide whether the NCR meets the disciplinary threshold. If it does, the [disciplinary process](#) will begin. If it does not and more information is required an NCR meeting will be arranged through Google Calendar with the employee concerned to discuss the NCR raised and gain clarity on the concerns raised.

3.5 Non-Compliance Report Meeting

Once the report has been reviewed and it does not meet the disciplinary threshold, the Compliance Manager will invite the concerned employee to a NCR meeting. The purpose of the meeting is to discuss the report and gain clarity on the concerns raised. The meeting will follow this Non-Compliance Log on People HR and will be conducted by the Compliance and Office Manager;

Once the NCR meeting has concluded, the Compliance Manager and Office Manager will make an informed decision on the outcome.

3.6 Outcomes of an NCR

Include;

• Disciplinary against the employee concerned

Disciplinary action ranges from a letter of concern to dismissal. The severity of the NCR will determine the disciplinary action taken against the employee. Recurring non-compliance may lead to disciplinary action being escalated.

For further guidance please refer to the 'Bee Active Disciplinary Process and Grievance Guide'.

• A Business Action Plan

A Business Action Plan will be implemented when the outcome of a NCR requires new, a change or an update to Company policy and / or procedures. The diagram on the next page, displays the steps in which business action will be implemented.

• An Employee Support Plan

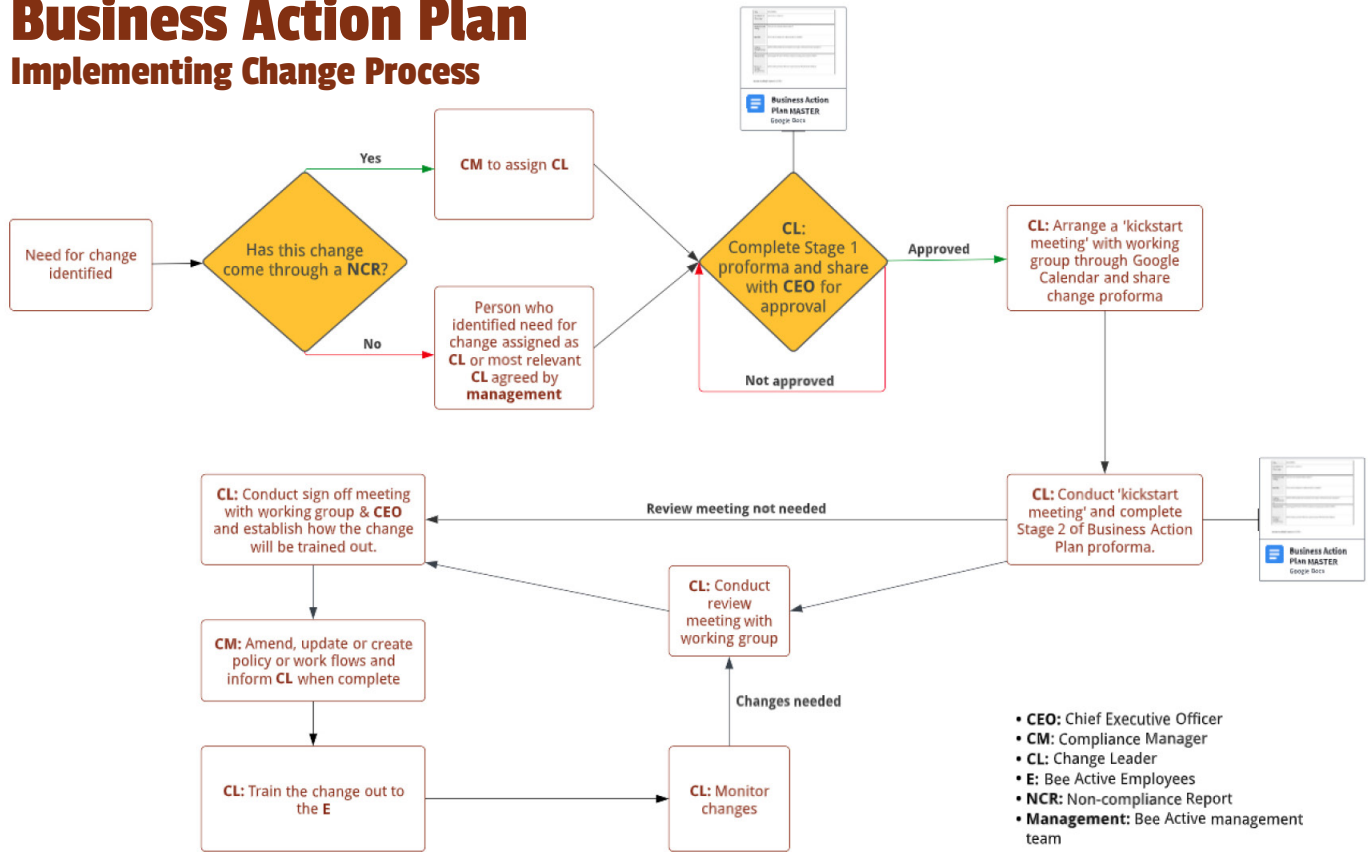
An Employee Support Plan is a great opportunity for personal improvement. Working alongside the Education and Training department targets will be set and a plan implemented to improve performance. It is important for the support plan to be successful that all parties are on board with the process to strive for excellence!

• No further action

In some cases where not enough information has been provided or the less severe cases, no further action will be the outcome. Reports will still be logged on People HR to improve performance and track NCR's. Recurring NCR's may mean the outcome being escalated, even if the case is deemed low risk.

In some circumstances an NCR may have more than one outcome. For example, an employee support plan and a business action plan may be the result where an employee needs support with certain aspects of their performance, but also a change in Company procedure to how the work is carried out.

Business Action Plan Implementing Change Process



4. Logging & reporting of non-compliance reports

Non-compliance reports will be logged on employee's People HR record indefinitely. The Compliance Manager is also responsible for keeping a database to log all NCR's as well as the reporting of NCR's and presenting them to the management team at Bee Active.

An NCR is a fantastic opportunity to learn, grow and improve both personally and as a Company. By reporting on and creating a database of NCR's it highlights recurring concerns which enables the Company to be innovative and improve our services to ensure we are delivering outstanding education and positive experiences to the children of Stoke-on-Trent and the surrounding areas.

5. If you are dissatisfied or wish to air a grievance in relation to an NCR against you

The purpose of identifying and submitting non-compliance reports is to ensure excellence in our

daily practice and to improve wherever necessary. However, given the nature of non-compliance we understand that some employees may feel dissatisfied or aggrieved by the concerns raised against them. Should this be the case then please speak directly with your line manager, or a member of management that you feel comfortable with, at a convenient time for both parties to discuss your grievance.

6. Non-compliance process feedback

A core value of Bee Active is improvement. If you feel that the non-compliance process could be improved then please arrange a meeting through Google calendar with the Compliance Manager and share your thoughts on the process and ways to improve.

BEE ACTIVE