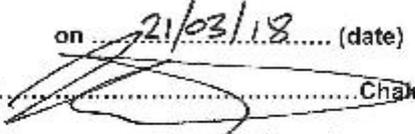




## Redundancy Policy Version 1.0

**Policy Date: March 2018**

**Version Date: March 2018**

This Policy was adopted by:  
The Directors of Ventrus Multi Academy Trust  
on 21/03/18 (date)  
Signed by  .....Chair of Directors  
Review Date.....Signed.....  
Review Date.....Signed.....

If you require further help in the interpretation of this policy you can contact the HR Team Helpline on 01392 256020

## CONTENTS

A	Responsibility for Redundancy	3
B	The Legal Framework	3
C	Potential Legal Costs	4
D	Equal Opportunities	4
E	Working Days	4
F	Determining The Need For Staffing Reductions	4
G	Authority To Take Action	5
H	Who does what?	5
I	Record Keeping	6
J	Prior Considerations By The Board of Directors And Headteacher/Principal	6
K	Consultation With Trade Unions / Professional Associations	7
L	Formal Consultation Meeting With Employees	8
M	The Selection Criteria	9
N	Selection of Employee(s)	10
O	Notification of Selection	11
P	Prior to the Representation Meeting	11
Q	Representation Meeting	12
R	Notification After The Representation Meeting	12
S	Appeal by Employee	12
T	Prior to Appeal Meeting	12
U	Appeal Meeting	13
V	Looking For Suitable Alternative Work For An Employee At Risk of Dismissal On Grounds Of Redundancy	14
App 1	Model Policy for Ending Temporary or Fixed Term Contracts	15

## **A. RESPONSIBILITY FOR REDUNDANCY**

- A.1.** The Board of Directors are responsible for deciding the number and the categories of employees working within Ventrus Multi Academy Trust.
- A.2.** A number of responsibilities will be delegated to the Executive Leadership Team (ELT).
- A.3.** This policy is provided, following consultation with Trade Unions/Professional Associations, and which the Board of Directors have adopted for use. Should the Board of Directors wish to make changes to this model policy, it will undertake the required consultation with the recognised Trade Unions / Professional Associations.

## **B. THE LEGAL FRAMEWORK**

- B.1.** The Employment Rights Act 1996 defines redundancy as a situation where:
- The employer ceases or intends to cease either to carry on the business for the purposes for which the employee was employed or to carry on the business in the place in which the employee was employed.
- or
- The requirements of the business for employees to carry out work of a particular kind or for employees to carry out work of a particular kind in the place where the employee was employed, have ceased or diminished or are expected to cease or diminish.
- B.2.** In Ventrus this could be interpreted as, for example, when we have to reduce the staffing establishment for budgetary reasons or the staffing needs to be reorganised to respond to organisational or curricular changes.
- B.3.** Any termination of a contract of employment is a dismissal and will be as a result of action under the appropriate policy.
- B.4.** Employees directly employed under 'temporary' or fixed term contracts are protected under the Fixed Term Workers Regulations.
- Employees on temporary or fixed term contracts will be treated equally with permanent employees for redundancy arising for a reason other than the ending of the employee's individual contract.
  - If the redundancy is due to the ending of the employee's individual contract due to the reason given in the contract of employment, please refer to appendix 1.

- B.5.** Employees who are part-time are protected under the Part Time Workers Regulations. Part-time employees will be treated equally with full-time employees under this policy.
- B.6.** There is a legal requirement to consult with recognised trade unions and professional associations.
- B.7.** A representative from a recognised trade union/professional association, or an appropriate work colleague, may accompany an employee at representation and/or appeal meetings.
- B.8.** This policy complies with the School Staffing (England) Regulations 2009.

#### **C. POTENTIAL LEGAL COSTS**

- C.1.** The academy will ensure it has adequate financial resources to cover any legal costs or compensatory awards arising from any subsequent claims.

#### **D. EQUAL OPPORTUNITIES**

This procedure is based on best practice and is designed to promote a consistent and fair approach to redundancy issues in the academy. The Board of Directors will ensure that the application of the procedure will not disproportionately or unfairly affect any employees in the academy recognising the diversity of the community.

#### **E. WORKING DAYS**

The policy makes reference to a number of 'days' within which certain actions should take place. 'Days' are Monday to Friday excluding public holidays.

#### **F. DETERMINING THE NEED FOR STAFFING REDUCTIONS**

- F.1.** The Board of Directors will review the academy's budget and in cases of a budget deficit determine whether staffing reductions are necessary.
- F.2.** As part of the review of the budget, the Board of Directors will consider reductions elsewhere in the budget before determining staffing reductions are necessary.

#### **G. AUTHORITY TO TAKE ACTION**

**G.1.** The ELT will be responsible for selecting posts to be made redundant and considering any representations by the employee who is displaced as a result.

**G.2.** An Appeal Committee, who have had no previous involvement in the selection or representation(s), will consider any appeal(s) from employee(s) selected for dismissal on grounds of redundancy.

## H. WHO DOES WHAT?

The Board of Directors are responsible for this policy being properly followed. However, the following areas will be delegated as indicated

	ELT	Board of Directors	Chair of Directors	Chair of Appeal Committee	Clerk to Dirs (or substitute)
Adopting Redundancy Policy		✓			
Determine membership (inc Chair) of the Appeal Committee		✓			
Overseeing proper application of process	✓				
Producing statutory information and documentation	✓				
All correspondence to employees during consultation process	✓				
Co-ordinating all parties to set timetable	✓				
Co-ordinate and chair consultation meeting	✓				
Attendance at consultation meetings	✓		✓ or substitute Director		
Consideration of responses to consultation meetings			✓ or delegated committee		
Ensuring a note-taker present at Representation and Appeal meetings	✓				✓
Ensuring the accuracy of selection process and Representation meetings notes	✓				
Notifying selected employee(s) orally and confirming in writing the outcome of selection and Representation meetings	✓				
Issue notice to selected employees			✓		
Supporting selected employee(s) to seek alternative employment	✓				
Notifying the Chair of the Appeal committee regarding the receipt of appeals from selected employees					✓
Setting up and administering Appeal Committee					✓
Notifying employee(s) orally and confirming in writing the outcome of the Appeal Committee				✓	
Ensuring accuracy of Appeal meeting notes				✓	

## I. RECORD KEEPING

- I.1.** The Executive Leadership Team will ensure that a note is kept of the decisions made during the selection process and at Representation meetings given that there may be a need to produce the documentation used in arriving at decisions, at the Appeal meeting.
- I.2.** The Chair of the Appeal meeting will ensure that notes of the decision of the Appeal meeting are held under Confidential Part 2 arrangements and will simply record the decision reached.

Who is responsible for record keeping:	CEO / ELT / Headteacher / Principal	Chair of the relevant Committee	Company Secretary
Full, comprehensive record of the redundancy process	✓		
Notes taken at the union consultation and staff consultation meeting	✓ plus governor representing the GB		
Record of decision at full directors meeting			✓
Notes of selection meeting	✓		
Notes of representation meeting	✓		
Notes of appeal meeting		✓	✓

## J. PRIOR CONSIDERATIONS BY THE BOARD OF DIRECTORS AND EXECUTIVE LEADERSHIP TEAM

- J.1.** The Executive Leadership Team will review the staffing levels at the academy and determine a staffing structure to provide the best education to the pupils within the financial resources available to the academy.
- J.2.** The Executive Leadership Team will agree a staffing structure with the Board of Directors prior to the commencement of the consultation process.
- J.3.** The Board of Directors and the Executive Leadership Team will determine whether any necessary staffing reduction only applies to one area of the academy e.g. if a special unit closes and the employees are contracted specifically to work in that unit. In this case, the consultation will take place with these employees and the County Officers of the relevant trade union/professional association. All affected employees must be fully consulted, other employees will be kept informed.
- J.4.** The Board of Directors will delegate to the Executive Leadership Team the responsibility for determining which employees sit within

which 'pool' of employees to be considered for the staffing reductions.

## **K. CONSULTATION WITH TRADE UNIONS / PROFESSIONAL ASSOCIATIONS**

- K.1.** There is a legal requirement to consult. Consultation will be meaningful and genuine. However, consultation does not mean that agreement will be reached but that full and proper consideration will be given to any responses made either during consultation meetings or provided in writing during the consultation period.
- K.2.** Consultation with Trade Unions/Professional Associations will begin as soon as the potential need for staffing reductions has been identified and in any event before any Formal Staff meeting.
- K.3.** The Executive Leadership Team will provide a report to the County Officers of all recognised Trade Unions/Professional Associations including the following information. This report will provide the basis for the consultation which will take place prior to any staffing reductions being made and will include the following information:

**Individual employees will not be named or consulted at this stage. Individual posts may be identified.**

- The reasons and circumstances that have led to the need to consider staffing reductions;
- Details of savings made in other areas of the academy budget to try to avoid or reduce the need for staffing reductions;
- Appropriate budget information including the likely budget shortfall for budget led redundancies;
- Curricular provision;
- Pupil number trends and projections;
- Academy Development Plan;
- The total number and category of employees in the establishment;
- The number and category of staffing reductions that may be needed;
- Whether a category of employees will be abolished;
- Where there is a need to reduce the number of employees in a particular category, the proposed criteria to differentiate between employees of the same category or where a selection process is to be followed, the proposed method of selection e.g. interview, presentation, psychometric testing, classroom observation etc;
- Which category of employee will be included in the 'pool' of staff to be considered;
- If appropriate, the proposed staffing restructure that will lead to a reduced number of employees;

- The proposed procedure for carrying out the redundancy dismissals, including the period over which the dismissals will take effect;
- The proposed method of calculating the redundancy pay.

- K.4.** The Executive Leadership Team will invite all the relevant County Officers of the recognised Trade Unions/Professional Associations to a consultation meeting. The Executive Leadership Team will chair the meeting and the Chair of Directors (or substitute) will be present to represent the Board of Directors. The Executive Leadership Team may also invite a member of Ventrus HR. This meeting is for the Executive Leadership Team and Chair of Directors to provide information, to answer questions and to consult on the proposals, including any possible ways of avoiding redundancy. If staffing reductions are unavoidable, the ways of making the necessary staffing reductions will also be consulted on.
- K.5.** Any comments/responses made during the consultation process will be reported to the Board of Directors or other committee as delegated for consideration prior to any staffing reductions being made.
- K.6.** Whenever possible, the Executive Leadership Team will, at the conclusion of the consultation meeting, inform the Trade Union/Professional Association representatives of the timetable for the process.

## **L. FORMAL CONSULTATION MEETING WITH EMPLOYEES**

- L.1.** Following the consultation meeting with Trade Unions/Professional Associations, the Executive Leadership Team will chair a consultation meeting with all affected employees. The Chair of Directors (or substitute) will be present to represent the Board of Directors. This meeting is for the Executive Leadership Team and Chair of Directors to provide the same information to employees as provided at the union consultation meeting. The purpose of the meeting is to consult with employees and to answer questions on the options available, including any possible ways of avoiding redundancy. If staffing reductions are unavoidable, the ways of making the necessary staffing reductions will also be consulted on. Employees should be advised to seek advice from their Trade Unions/Professional Associations.
- L.2.** The same information will be given to all the employees, including those absent from academy for any reason, as has been given to the Trade Unions/Professional Associations.
- L.3.** The Executive Leadership Team will ask whether any employees wish to make a request to alter their working arrangements or have any alternative proposals on how the academy may achieve a balanced budget including volunteering their post for redundancy/redeployment. This should be put in writing to the ELT.

Employees should be advised to seek advice from their Trade Unions/Professional Associations if considering this option.

- L.4.** At the meeting, the Executive Leadership Team will issue an Employee Profile Form to each employee in the pool. These Employee Profile Forms will be completed by employees to provide information to demonstrate how each employee meets the selection criteria contained within this policy. This information will be considered during the selection process cannot be added to at a later stage of the process.
- L.5.** In exceptional circumstances, only specific categories of staff within the academy will be considered for staffing reductions. If this is the case, the reason will be made clear to staff by the Executive Leadership Team.
- L.6.** In some cases, if only a specific category of staff is affected, the Board of Directors may determine that rather than using the selection criteria in this policy to identify who is selected for redundancy, a selection process will be undertaken to identify who will secure a post(s) in the new structure resulting in anyone not successful in this process being provisionally selected for redundancy.
- L.7.** Employees should be made aware that they can request an estimate of redundancy payments. Employees should also be advised to discuss any such matters with their Trade Union/Professional Association representative.

## **M. THE SELECTION CRITERIA**

- M.1.** Where there is a need to reduce the number of employees in a specific category of work, the following criteria will be used to differentiate between those employees in that category, if the Board of Directors has determined not to undertake a selection process involving interviews and other recruitment tools.
- M.2.** Where more employees volunteer their posts for redundancy than are required, these selection criteria will be used.
- M.3.** The following selection criteria will be evidenced by each individual employee him or herself in relation to his/her category of work which is undertaken during contracted working time.

<b>SC1</b>	Working to Professional Standards for Teachers (Criterion for teachers only)
<b>SC2</b>	Sharing professional expertise appropriately
<b>SC3</b>	Possesses competencies to do the job effectively

<b>SC4</b>	Possesses an up to date knowledge of relevant area of work
<b>SC5</b>	Contributes effectively to raising standards of education in the academy.
<b>SC6</b>	Contributes effectively to the good reputation of the academy in the community.
<b>SC7</b>	Communicates effectively.
<b>SC8</b>	Flexibility and adaptability to meet the needs of the academy.
<b>SC9</b>	Performance in role.
<b>SC10</b>	Attendance and Timekeeping
<b>SC11</b>	Conduct in role

## **N. SELECTION OF EMPLOYEES**

- N.1.** The Executive Leadership Team will consider requests from any employees that they be selected for redundancy or to alter their working arrangements. For each request the ELT will consider the potential impact on the academy taking into account the overriding need to retain relevant skills, knowledge and experience required by the academy.
- N.2.** After considering these requests, if the Executive Leadership Team still determines that compulsory redundancy is necessary the process will continue.
- N.3.** The Executive Leadership Team will ensure that the 'pools' of employees at risk of redundancy are clear and that affected employees are allocated to a 'pool' (this may be a 'pool' of one employee).
- N.4.** The Executive Leadership Team will consider whether any category of employee should be abolished as that role(s) is no longer required in the academy. If this is the case, all staff in this category will be at risk of dismissal on grounds of redundancy. Completion of an Employee Profile Form is unnecessary in these circumstances.
- N.5.** If there is a need for further reductions, the Executive Leadership Team will consider the Employee Profile Forms against the selection criteria for each of the employees in each affected 'pool' to determine which individuals should be selected for redundancy.
- N.6.** The selection criteria will be applied with care and in a reasonable, fair and objective way. The employee(s) identified as least able to

contribute to taking the academy forward in the future, based on the application of the selection criteria, will be provisionally selected for dismissal by reason redundancy.

- N.7.** If the Board of Directors determined that a selection process should take place, the Executive Leadership Team will consider the outcome of that process and assure him/herself that the process undertaken was appropriate and employee(s) not appointed to a post(s) in the new structure will be selected for redundancy.

## **O. NOTIFICATION OF SELECTION**

The Executive Leadership Team will orally advise the relevant employee(s) of the proposal to select him/her for redundancy. This will be confirmed in writing within three days of the date of selection, giving reasons and advising of the right to make representations against their selection at a Representation Meeting with an Executive Leadership Team member.

## **P. PRIOR TO THE REPRESENTATION MEETING**

- P.1.** An employee wishing to exercise his/her right to make representations, must notify the Executive Leadership Team in writing within five days of the date of the written notification of the selection for dismissal on grounds of redundancy. Where an employee does not express in writing within this five day period that they wish to make Representations, a request will be made to the Directors at this point to issue formal notice to the employee (see R.5).
- P.2.** At least three days before the Representation meeting, the selected employee will be given copies of the notes of his/her selection and if the selection criteria were applied, the employee's assessment. If a selection process was undertaken, written feedback from his/her interview and any other recruitment tool used will be provided to the employee.

## **Q. THE REPRESENTATION MEETING**

- Q.1.** The Company Secretary (or substitute) should take notes at the meeting.
- Q.2.** The meeting must be held in accordance with good employee relations practice.

## **R. NOTIFICATION AFTER THE REPRESENTATION MEETING**

- R.1.** The Executive Leadership Team member will, where possible, orally advise the employee of the decision at the end of the Representations meeting.
- R.2.** If the decision is that the selection stands, the selected employee will be given written confirmation within three days of the date of the meeting including reasons for the decision and the employee's right to appeal.
- R.3.** If the decision is that the employee should not be selected then the employee will have written confirmation. In this case, the Executive Leadership Team will consider the appropriate course of action.
- R.4.** If the decision is that the employee should be selected, the Executive Leadership Team will report the outcome of the process to the Directors.
- R.5.** The Directors will issue formal notice to the employee.

## **S. APPEAL BY THE EMPLOYEE**

- S.1.** Any appeal by a potentially redundant employee must be made in writing to the Company Directors (or named alternative) within five days of receiving written notice, stating the grounds of appeal and giving reasons for the appeal.
- S.2.** An appeal can be made on the following grounds:

**Ground 1 – that the reason for dismissal was not redundancy**

**Ground 2 – that the selection for redundancy was unfair**

**Ground 3 – that the process was flawed**

## **T. PRIOR TO APPEAL MEETING**

- T.1.** The Appeal Committee will be made up of at least two Directors and no more than three.
- T.2.** Arrangements will be made for the Appeal Meeting to be held as soon as possible but not normally less than five days after the receipt of the letter of appeal.
- T.3.** At least three days before the Appeal Meeting, the appellant will be given copies of the notes of the Representation meeting, if applicable.

## **U. THE APPEAL MEETING**

- U.1.** The Appeal Committee may seek advice from the Trust's personnel service provider.
- U.2.** An appeal provides the employee with an opportunity to make an appeal to Directors who have had no previous involvement in the process.
- U.3.** At the commencement of the Appeal meeting, it should be confirmed that none of the Committee members have an identifiable pecuniary interest, close relationship with any employee or vested interest.
- U.4.** An Appeal Committee should satisfy itself that:
  - The process prior to this stage of the policy has been properly followed.
  - The employee was given an equal opportunity to participate in the redundancy process.
  - The Executive Leadership Team made a measured decision taking account of all the relevant evidence.
  - The employee was given the right to make representations and that those representations were considered by the Executive Leadership Team.
  - Having regard to all the circumstances the decision to select the employee was reasonable.
- U.5.** The Appeal Committee will respond to the appeal.
- U.6.** The meeting will be held in accordance with good employee relations practice.
- U.7.** In the event of the Appeal being unsuccessful, the decision will be final. Written confirmation will be given of the decision within three days of the decision.
- U.8.** In the event of the Appeal being successful:
  - Written notification will be given within three days of the decision.
  - The Chair of Directors will withdraw the notice of dismissal.
  - The Appeal Committee will refer the matter back to the Executive Leadership Team for the Executive Leadership Team to consider the appropriate action.

## **V. LOOKING FOR SUITABLE ALTERNATIVE WORK FOR AN EMPLOYEE AT RISK OF DISMISSAL ON GROUNDS OF REDUDNANCY**

- V.1.** In any redundancy process an employer has a legal responsibility to mitigate compulsory redundancies and must actively pursue options for alternative work for selected employees.
- V.2.** Ventrus Multi Academy Trust has responsibility for seeking alternative employment for employees under notice of redundancy.

- V.3.** The Executive Leadership Team and Board of Directors will support the employee in his/her efforts to find alternative work.
- V.4.** The potentially redundant employee (whether voluntarily or compulsorily) will be expected to:
- Fully engage in any redeployment process;
  - Give consideration to every suitable, available opportunity;
  - Be flexible in considering job opportunities;
  - Present skills and experience appropriately on application forms;
  - Prepare thoroughly for any applications or interview processes;
  - Consider and identify any training requirements in advance of recruitment processes;
  - Request assistance for interview preparation when required;
  - Take on board feedback from the process;
  - Provide reasons in writing why a post is not considered suitable when the employee
- V.5.** The Trust considers suitable alternative employment to be that which is:
- Suitable for the teacher or support staff employee concerned in terms of status and responsibility;
  - In the case of support staff, on an equivalent grade to the current post;
  - In the case of a teacher, the provisions of the Pay Policy will apply
  - Similar or the same in weekly working hours and/or shift patterns;
  - Within the employee's capability
  - Not involving unreasonable additional inconvenience to the employee in terms of travel;
  - A post which is fewer or more hours than contracted or at a different base, but which the employee wishes to consider and is willing to accept as a suitable alternative employment.

## APPENDIX 1

### **POLICY FOR THE ENDING OF TEMPORARY OR FIXED TERM CONTRACTS**

This Appendix will be followed when there is no longer a need for the work to be undertaken that was carried out by an employee directly employed by the academy on a 'temporary' or fixed term contract. In these situations, the employee will be treated as a 'pool of one'. Please note, employees that have accrued two years' service (one year if employed before 6 April 2012) have the statutory right not to be unfairly dismissed. Employees with two years' continuous service may also have an entitlement to a redundancy payment depending on the contractual position.

#### **A fixed-term contract (FTC) is:**

A contract which terminates on a specified date, the completion of a specified task or on the occurrence of an event which is certain to occur on a particular date. For example:

- to cover a period of leave where the end date is known;
- to cover a specific project for a defined period where governors have made funds available for that project e.g. one term for Reading Recovery;
- to cover a period of secondment or in-service or educational training;
- to cover maternity leave;
- to fill a post pending an appointee taking up the post.
- to cover a temporary reduction in the hours of a member of staff where the period of the reduction is defined;

#### **A temporary contract is:**

A contract which is normally used when no end date is known. For example:

- to cover sickness;
- to cover any other period of paid /unpaid leave where the end date is not known;
- to cover a short-term temporary increase in workload.

#### **1. INDIVIDUAL MEETING WITH EMPLOYEE(S)**

The line manager (normally Headteacher / Principal) will meet with temporary/FTC employee whose work is due to end on an individual basis to confirm that:

- the employee is aware of the nature of the contract and the reason for it being temporary or fixed term and that his/her contract will be ending for the reason on the contract which was stated at appointment.
- there is a formal procedure that the academy will be following. A copy of the Redundancy Policy including this Appendix will be given to the employee.

The line manager will also advise the member of staff:

- that support will be provided to the employee in seeking suitable alternative employment for the employee.
- to contact his/her union and to confirm that Ventrus will be contacting all the recognised union representatives

## **2. SELECTION**

**The line manager will:**

- Consider any feedback from the union(s) and/or the employee.
- Review contractual information to ensure the contract is correct and is ending for the reason stated in the letter of appointment.
- Carry out selection in accordance with the Redundancy Policy and good HR practice.
- Consider whether the post is:
  - Redundant within the definition of redundancy;
  - Whether other work is available or not;
  - Whether the contract can be ended for the reason stated.
- Confirm the decision in writing to the employee and offer the employee the right to make representations.

## **3. MAKING REPRESENTATIONS**

3.1. An employee wishing to exercise his/her right to make representations must do so in accordance with the details set out in the selection decision letter.

3.2. A meeting will be convened as soon as possible to enable the line manager to hear and consider representation(s).

3.3. The meeting will be held in accordance with the Redundancy Policy and good HR practice.

3.4. Having considered the representations, the line manager will confirm the decision of the meeting in writing to the employee and, if the selection of the employee for dismissal on grounds of redundancy is confirmed, of the employee's the right of appeal.

#### **4. APPEAL COMMITTEE**

- 4.1. An employee wishing to exercise his/her right of appeal must do so, in writing, in accordance with the details set out in the decision letter from the Representations meeting.
- 4.2. The Appeal Committee Meeting (normally 2 members of ELT) will be convened as soon as possible.
- 4.3. The Appeal Committee Meeting will be held in accordance with the Ventrus Redundancy Policy and good HR practice.
- 4.4. The Appeal Committee will confirm the decision of the meeting in writing to the employee.

**POLICY HISTORY**

Policy Date	Summary of change	Contact	Implementation Date	Review Date
01.01.2016	Revised policy for academy schools based on LA policy consulted with trade unions in December 2015	HR Direct		
12.05.2016	Revised Model policy to reflect the Trust's Leadership structure and Terminology	S Levi	Tbc July 16	
March 2018	Revised policy to reflect the Trust's Leadership structure and terminology	SL Updated Nov 17 Contact: SS	March 18	2020