Redundancy / Surplus Staffing Policy & Procedure for Schools

Updated : March 2018

Adolygwyd / Reviewed – 11/2025

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REDUNDANCY / SURPLUS STAFFING POLICY & PROCEDURE FOR SCHOOLS

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REDUNDANCY / SURPLUS STAFFING POLICY & PROCEDURE FOR SCHOOLS

1. INTRODUCTION

In the constantly changing world of education, schools and their governing bodies regularly face managing the challenges created by contractual change, falling rolls, workforce remodelling and changes in funding. Any of these have the possibility of requiring staff redundancies.

Redundancy can be stressful for everyone involved: employer and employee, colleagues, families and friends; and the need for sensitivity is paramount throughout the process.

The responsibility for initiating the redundancy process generally lies with the governing body through its general duty to determine the annual budget for the school. In other circumstances the Headteacher may make proposals regarding the staffing structure of the school which may lead to a redundancy process.

2. WHAT IS REDUNDANCY?

Under the Employment Rights Act 1996, a redundancy arises when employees are dismissed because:

- The employer has ceased or intends to cease to carry on the business for the purposes of which the employee was employed or in the place where the employee was employed; or

- The requirement of the business for employees to carry out work of a particular kind, or in the place where they were employed, has ceased or diminished or are expected to cease or diminish.

3. SCOPE

This Policy & Procedure applies to employees working in the school, except those who are directly employed by the Local Authority and those working in the school via an employment agency.

4. GENERAL PRINCIPLES

4.1 Compensation payments will be made in accordance with the statutory provisions, Local Government Compensation Regulations and Employers' Discretionary policies in force at the time. Discretionary policies do not infer contractual rights and are subject to change at any time.

4.2 Redundant employees will serve a notice period in accordance with their contractual rights or statutory entitlement if that is greater, although this entitlement to notice may be waived by

the employee concerned. Only in cases where operational considerations make it impractical for notice to be served will pay in lieu of notice be payable.

4.3 A Business Case must always be submitted to the School's HR Advisor in accordance with the agreed procedure. (See Retirement, Severance & Redundancy Business Case Guidelines).

4.4 Where possible, volunteers for redundancy will be sought in the first instance. However, the Governing Body reserves the right to apply selection criteria if particular knowledge and skills must be retained or if the number of volunteers exceeds the number of redundant posts.

4.5 The recognised Trade Unions will be consulted at all stages of this procedure.

4.6 If 20 or more employees are facing redundancy within a 30-day period at one establishment then collective consultation will apply.

4.7 Employees who are absent from work for whatever reason but particularly when on maternity, adoption, additional paternity leave or due to long term illness must be kept informed at all stages of this procedure and given the same information and opportunities as other affected employees.

4.8 Employees have the right to be accompanied by a recognised trade union official or work colleague at all formal stages of this procedure.

4.9 The needs of disabled employees must be considered during the process and reasonable adjustments made as necessary.

5. ENSURING EQUALITY OF TREATMENT

This policy must be applied consistently to all employees irrespective of race, colour, ethnic or national origins (including citizenship), language, disability, religion, belief or non-belief, age, sex, gender reassignment, sexual orientation, parental or marital / civil partnership status, pregnancy or maternity.

If you have any equality and diversity concerns in relation to the application of this policy and procedure, please contact a member of the HR team who will, if necessary, ensure the policy / procedure is reviewed accordingly.

6. ROLES AND RESPONSIBILITIES

6.1 Headteacher / Governing Body

Advice must be sought from the Human Resources team as soon a potential redundancy arises. Within the parameters of this procedure the Headteacher and Governing Body are responsible for producing the business case, implementing an agreed consultation plan and liaising with

employees to ensure they are kept up to date at all stages and that all alternatives to redundancy are considered including redeployment to other schools, where the Redeployment Policy has been adopted, or departments within the Council.

6.2 Human Resources (HR)

The HR Team will advise the Headteacher / Governing Body at all stages of the procedure and will ensure that legal requirements are adhered to in relation to consultation, notice periods, redundancy payments etc. HR will also ensure that notice letters are issued and redeployment or other options considered and enacted.

7. ALTERNATIVES TO REDUNDANCY

As soon as there is a requirement for reducing the size of the workforce, alternatives to redundancy should always be considered. This may include:

- Recruitment freezes;
- Curtailing use of agency / supply workers;
- Part-time working or other flexible working options; and
- Natural wastage.

8. PROCEDURE

8.1 Identifying a Redundancy Situation

It is recommended that the Headteacher / Governing Body conducts an annual review of the staffing structures and numbers of teaching and support staff employed at the school.

The purpose of the review will be to balance existing and future staffing needs against projected pupil numbers, subject choices (secondary schools only), projected budget and Welsh Government initiatives so that any adjustment in staffing levels or structures can be achieved with the minimum impact on staff.

Secondary Schools may wish to conduct a Staff Audit (Appendix A) at this stage.

The Headteacher should discuss the school's circumstances with a representative of the Education Department, who will advise on the various options that may be available to the school, which includes model staffing structures.

The outcome of this review should be reported to a meeting of the Staffing and Finance Sub Committees of the Governing Body.

If the review identifies a need to reduce staffing levels or a change to the staffing structure, it may be that redundancy procedure will need to be invoked. The Headteacher should contact their HR Advisor for advice at this stage.

8.2 Instruction to Consult

The potential need for redundancy should be formally recognised by the Staffing and Finance Sub Committees, and would lead to the appointment of Governors to relevant Sub Committees i.e. a Staff Disciplinary and Dismissal (SD&D) Sub Committee and a Staff Disciplinary and Dismissal (SD&D) Appeals Sub Committee.

The Governing Body should ensure that relevant policies have been adopted i.e. Redundancy / Surplus Staffing Policy & Procedure prior to embarking on this process.
The Staffing Sub Committee will formally instruct the Headteacher to begin the consultation process with employees and Trade Unions regarding the surplus staff situation and the potential need for redundancy.

8.3 Equality Impact Assessment (EIA)

In order to ensure that the School is considering the potential equality impact of its proposed policies and practices, and in order to evidence that we have done so, every proposal will be required to be supported by the attached Equality Impact Assessment. Where this assessment identifies a significant impact then more detail may be required.

The initial EIA (Appendix B) is a simple and quick method of assessing the effect of a policy, function, procedure, decision including financial cuts on one or more of the protected characteristics.

The Headteacher / Staffing Sub Committee responsible for the decisions must undertake, at least, an initial EIA and where relevant a detailed Equality Impact Assessment (Appendix C).

8.4 Change Review Panel

Following completion of a Change Review Panel Checklist (Appendix D), the Headteacher will discuss the proposed changes with their HR Advisor, Challenge Advisor and / or a representative of the Authority's Finance Team, following which a referral will be made to the Change Review Panel.

The Change Review Panel will decide whether it is necessary for the Headteacher, with support from their HR Advisor, to attend a meeting of the Change Review Panel to discuss proposed changes. The Panel will provide advice and guidance, and will review the practical and equality issues arising from the proposals.

8.5 Prepare & Present Documentation

The Headteacher, with the advice of HR, will prepare the Consultation Pack which will be shared with employees and trade unions.

The pack should contain the following information:

i) A brief report to explain the reasons for the change and to explain the school's proposals;
ii) Relevant pupil numbers;
iii) Curriculum and / or subject class requirements;
iv) A letter outlining the process and dates of consultation meetings;
v) A draft timetable;
vi) Draft job Profiles;
vii) The current and proposed staffing structures;
viii) Budget information;
ix) Minutes of relevant Governing Body Sub Committee meeting(s) (redacted if necessary); and
x) Copy of the Section 188 Notice (if relevant).

The Headteacher will hold an informal meeting with all affected employees to distribute the documentation pack and explain the process that will follow.

Any employees currently away from work due to sickness absence, maternity / paternity leave, parental leave or on secondment must be invited to attend the meeting.

Employees should be informed at the meeting that if they wish to register an interest in voluntary redundancy, early retirement or a reduction in hours, they should advise the Headteacher as soon as possible. Employees should be reassured that they would be purely registering an interest at this stage and release cannot be guaranteed and any decisions will be based on the needs of the school.

8.6 Formal Consultation

The Headteacher will hold a formal consultation meeting with all employees likely to be affected by the redundancy and the recognised trade unions.

In any redundancy situation, the school will try to balance the protection of its core function i.e. the delivery of education to children, with the need to achieve the necessary savings. The key focus of this consultation stage is to consider every option that could remove or reduce the need for redundancies.

It is important to remember that consultation is different from negotiation, in that reaching agreement with those who are being consulted should be the aim, but is not a prerequisite.

A HR Advisor will be present at consultation meetings to advise on process, including the process for voluntary redundancy / early retirement.

The First Consultation Meeting, which will be clerked and minuted, will cover issues such as:

a) The reason for the proposal;

b) The number and description of posts at risk of redundancy;
c) The total number of employees employed in any such posts in the school;
d) The way in which employees will be selected for redundancy (please see Section on Knowledge & Skills Questionnaire and Selection Criteria);
e) Discussion on the proposed new structure;
f) Comments and suggestions for consideration;
g) Alternatives to compulsory redundancy, including a voluntary reduction in hours, early retirement or voluntary redundancy (requests to be made to the Headteacher by a specified date, prior to the Second Consultation Meeting);
h) The redeployment process; and
i) The method for calculating the redundancy payment.

It is advisable to allow sufficient time between the first and second consultation meetings to allow employees to consider what options may be available to them in terms of a possible reduction in hours or a job share arrangement, and to obtain an estimate of benefits should they request voluntary redundancy or early retirement.

The Second Consultation Meeting is an opportunity to:
a) revisit any outstanding issues from the first consultation meeting;
b) confirm whether any volunteers have come forward and whether any other solutions have been found;
c) Describe the selection process in more detail;
d) Provide an explanation to employees on how to complete the Knowledge & Skills Questionnaires form, along with the timescales for completion;
e) Consult on the selection criteria which will be used by the SD&D Sub Committee when scoring the Knowledge & Skills Questionnaires;
f) Explain the next stages of the process, which includes the Scoring Meeting, Representation Meeting and the right to appeal the decision of the SD&D Sub Committee;
g) Confirm how the outcome of the meeting between the Headteacher and the Staffing Sub Committee will be communicated to employees and trade unions; and
h) Reiterate the process for redeployment and how the redundancy payment will be calculated.

Comments and / or concerns raised by employees and / or trade unions regarding the process, the new structure etc. during the consultation meetings should be minuted for presentation to the Staffing and / or Finance Sub Committee.

8.7 Closing Consultation

The Headteacher will meet with the Staffing Sub Committee at close of consultation to confirm any outcomes i.e. whether any volunteers for redundancy / early retirement / reduction in hours etc. have been identified.

The Staffing Sub Committee will be responsible for endorsing any voluntary arrangements and for approving a revised school plan.

In the event that no suitable volunteers are identified, the Headteacher will explain the next steps in the procedure to, and agree the timetable with, the SD&D Sub Committee.

The Headteacher will then confirm the resolution of the Staffing Sub Committee in writing to the employees and trade unions, including the timetable for the next steps, to include:

a) The deadline for submission of Knowledge & Skills Questionnaires (to be agreed) to the Clerk for verification by the Headteacher;
b) A copy of the Selection Criteria (See Appendix E);
c) Confirmation of the proposed dates for the Representation Meetings with the SD&D Sub Committee; and the appeal meeting with the Appeals Sub Committee.

8.8 SD&D Sub Committee - Selection Meeting

The SD&D Sub Committee will hold a Selection Meeting and will appoint a Chair. A HR Advisor will be present to provide procedural advice, where it is deemed necessary; and the Clerk to the Governing Body will be present to record any discussion of note, including the scoring of the Knowledge & Skills Questionnaires, any advice provided by HR, and the decision of the Sub Committee.

The Headteacher will also be available to answer any questions of a 'technical' nature that the Sub Committee may have. The Clerk will also minute any occasions where the Headteacher is invited in to the meeting, the questions posed to him / her and the answers given.

The Sub Committee members will each, individually, consider the Knowledge & Skills Questionnaires against the agreed selection criteria before they, as a panel, agree a score for each of the submissions. Please note that employees will be provided with a copy of their scoresheet if they are selected for redundancy, or if a request is made under FOIA.

The Chair will notify the employee(s) selected for redundancy of the SD&D Sub Committee's decision in writing within 10 working days. The letter must explain the employee's right of appeal against this decision, and also right to address the SD&D Sub Committee at a Representation Meeting.

8.9 Representation Meeting

Employees selected for redundancy are offered the opportunity to make representations to the SD&D Sub Committee. The employee(s) are entitled to be represented by a work colleague or a trade union official. The Headteacher may also be required to attend to answer any questions that arise.

The purpose of the Representation Meeting, which will be conducted in accordance with the Representation Meeting Protocol (Appendix F), is for the SD&D Sub Committee to explain the reasons for selection and for the employee to ask any questions relating to this. The employee may also wish to present reasons why they should not have been selected. However it should be noted that the meeting is not an opportunity for the employee to add to information already

provided during the selection process or comment on the performance of other employees in the selection pool. At the end of the meeting the employee may wish to ask the Panel to reconsider its provisional selection decision.

Any documentation that either party wishes to present to the representation meeting should be shared in advance, usually not less than 3 working days before the representation meeting.

Representation meetings should take place as soon as practicable, and usually within 5 working days of written notification of the outcome of the selection process. The panel may adjourn the representation meeting should the employee present information requiring further investigation.

In an effort to avoid requests for a postponement, the date for the Representation Meeting should be agreed with the Trade Unions in advance, where possible.

The meeting may be postponed for up to 5 working days if the Trade Union representative or workplace colleague cannot attend. It should be noted that where the proposed date of the representation meeting has been shared with employees and their representatives at the outset of the process, it would usually be expected that parties would be available to attend on the pre-arranged date unless issues had been raised when the timeline was originally shared.

If, following the Representation Meeting, the SD&D Sub Committee confirms the selection, the employee must be notified, in writing, within 10 working days of the decision and of their right of appeal against that decision to the Appeal Sub Committee.

8.10 Appeal

An employee wishing to appeal against redundancy should notify the Clerk to the Governing Body within 10 working days of receiving the notice of selection for redundancy.

The Clerk to the Governing Body will convene the Appeals Sub Committee and will notify the employee and their trade union representative / work colleague in writing of the date, time and location of the meeting, giving a minimum of 5 working days' notice.

In an effort to avoid cancellations and postponements, the date for the Appeal Hearing should be agreed with the Trade Unions in advance, where possible.

A HR Advisor will attend the Appeal Hearing to provide advice to the Sub Committee.

The Appeal Hearing, which will be conducted in accordance with the Redundancy Appeal Hearing Protocol (Appendix G), will review the individual case against the established redundancy criteria. It will be up to the employee to show that the criteria have not been applied fairly or that the SD&D Sub Committee has not taken sufficient heed of their personal circumstances.

The Chair of the SD&D Sub Committee will be required to attend the Appeal Hearing to respond to any questions posed by the employee, their trade union representative and / or the Appeal Sub Committee.

The employee selected may reasonably request written confirmation of the details of the way in which the selection criteria were applied to them, but not details relating to other employees.

The appeal should take place as quickly as possible and the Sub Committee must not consist of any Governor who has been involved in the original redundancy decision, or who has a potential conflict of interest.

Following the Appeal Hearing, the employee must be notified of the final decision in writing within 10 working days. A copy of the letter must also be provided to the HR Advisor to the Appeal Panel.

8.11 Notice & Redeployment

At the end of the appeal process, the Governing Body must advise the Local Authority HR Advisor of their decision, without delay. The dismissal notices should then be sent by the Local Authority within 14 calendar days.

The written notice of dismissal will indicate that the employee is to be dismissed by reason of redundancy, give the effective date of termination, and explain the entitlement to a redundancy payment. The notice should also include the steps that are to be taken by the employer to identify any alternative employment that may become available during the notice period, what personal support is available and the right of the employee to time off to seek work.

8.12 Redundancy Payment

The school is required to send a termination of employment form to the HR Schools Team (hrschoolsteam@carmarthenshire.gov.uk) in order to update the employee's employment record and to arrange for salary payments to cease with effect from the date of termination of employment. To avoid overpayment of salary, the deadline for receipt of the termination form is the 4th of the month in which the employee's employment ends.

The HR Advisor will make all necessary arrangements with the Payroll team for release of the redundancy payment and will liaise with the Pensions Section / Teachers Pensions as appropriate.

8.13 Salary Sacrifice Schemes e.g. Childcare Vouchers, Cycle 2 Work etc.

Any amount outstanding will be deducted from final payments in line with the terms and conditions of the salary sacrifice agreement (contact HR for advice).

8.14 Return of School Property

School property e.g. ID cards, keys, mobile telephone, laptop computers etc. must be returned to the Headteacher, along with passwords and access details, on or before the last day of employment.

9. ADVICE & SUPPORT

Headteachers and Governors may find the ACAS Learning On-line module on Handling Redundancies useful. Advice will also be provided by the HR Team throughout the redundancy process.

Employees should be offered the option of Cognitive Behaviour Therapy (CBT) via the Occupational Health Unit. The Line Manager / Headteacher is responsible for arranging this if requested.

10. MONITORING THIS POLICY & PROCEDURE

The Headteacher and Governing Body must ensure that when managing redundancies, they are not unnecessarily impacting disproportionately on particular groups of employees e.g. females, disabled, older or ethnic minority employees.

Monitoring systems will be set up corporately to monitor dismissals on the grounds of redundancy.

11. REFERENCES

The following sources were referred to when developing this policy and procedure:

- Employment Rights Act 1996
- ACAS Advisory Booklet : How to Manage Collective Redundancies
- CIPD Policies and Procedures Guidance
- BIS Guidance

If you require this publication in an alternative format please contact People Management on 01267 246100 or email: PMPBusinessSupportUnit@carmarthenshire.gov.uk

This Guidance is also available in welsh

APPENDIX A.

Staff Audit

(Skills ~ Experience ~ Qualifications)

Name of Employee: ..... Employee No.: .....

Please could you complete the following details as accurately as possible and return to …… by …… (electronic versions can be returned via e-mail). If an updated copy is not received by this date, it will be assumed that the existing version is the one you wish to be considered.

TLR Level	Brief details of responsibilities

Qualifications

1st Degree (Title, Level & Date Awarded)	Subjects Covered
2nd or Higher Degree (Title, Level & Date Awarded)	Subjects Covered
Diploma (Title & Date Awarded)	Subjects Covered
Teaching Qualification (Title & Date Awarded)	Subjects Covered

APPENDIX A.

APPENDIX A.

Teaching Experience

Commencement Date in School:	
Commencement Date in Current Post:	

Previous Teaching Experience (Please itemise below)

Dates		School	Role
From	To		

Details of training undertaken within the last three years

Dates	Course	Subject Content

APPENDIX A.

Please record below the details of any other relevant experience / skills that you feel could assist the school in addressing what is included in the School Improvement Plan (100 words max)

Further relevant information you wish to share (100 words max)

Thank you for the time you have taken to complete this audit.

APPENDIX B.

Initial Equality Impact Assessment

School:		Completed by:		Date of Initial Assessment:	
				Revision Dates:	
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)					
Is this an existing or new function / policy, procedure or decision?					
What evidence has been used to inform the assessment and policy? Please list.					

1. Describe the aims, objectives or purpose of the proposed function / policy, practice, procedure or decision and who is intended to benefit.	

APPENDIX B.

	The Public Sector Equality Duty requires the School to have 'due regard' to the need to: a) Eliminate unlawful discrimination, harassment and victimisation; b) Advance equality or opportunity between different groups; and c) Foster good relations between different groups (see guidance notes)	2. What level of impact on each group / protected characteristics in terms of the three aims of the duty? Please indicate high (H), medium (M), low (L) or no effect (N) for each.	3. Identify the risk or positive effect that could result for each of the group / protected characteristics?		4. If there is a disproportionately negative impact what mitigating factors have you considered?
			Risks	Positive effects	
Protected Characteristics	Age				
	Disability				
	Gender Reassignment				
	Race				
	Religion / Belief				
	Pregnancy & Maternity				
	Sexual Orientation				
	Sex				
	Welsh Language				

APPENDIX B.

	Any other area				
5. Has there been any consultation / engagement with the appropriate protected characteristics?					Yes / No
6. What action(s) will you take to reduce any disproportionately negative impact, if any?					
7. Procurement Following collation of evidence for this assessment, are there any procurement implications for the service? Please take the findings of this assessment into your procurement plan. Contact the Corporate Procurement Unit for further advice.					
8. Human Resources Following collation of evidence for this assessment, are there any Human Resources implications to the activity, proposal or service?					
9. Based on the information in Sections 2 and 6, should this function / policy / procedure / practice or decision proceed to Detailed Impact Assessment? (recommended if one or more High under section 2 above)					Yes / No
Approved by:		_____ Headteacher / Chair of Governors		Date:	

APPENDIX C.

Detailed Equality Impact Assessment

School:	Please see initial assessment
Completed by:	
Date of Detailed Assessment:	
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Please see initial assessment
Is this an existing or new function / policy, procedure or decision?	
1. Describe the aims, objectives or purpose of the proposed function / policy, practice, procedure or decision and who is intended to benefit.	Please see initial assessment
2. Please list any existing documents, evidence or research which have been used to inform the 'Detailed Equality Impact Assessment'. (This must include relevant data used in this assessment)	

APPENDIX C.

3. Has any consultation or involvement been undertaken with the protected characteristics to inform this assessment? (Please provide details of who and how consulted)				
4. What is the actual / likely impact?				
5. What actions are proposed to address the impact? (The actions need to be specific, measurable and outcome based)	What are we going to do?	Who will be responsible	When will it be completed?	How will we know we have achieved our objective?
6. How will actions be monitored?				

Approved by:	_____ Headteacher / Chair of Governors	Date:	

APPENDIX D.

Change Review Panel for Schools : Terms of Reference

1. INTRODUCTION

In the constantly changing world of education, Schools and their Governing Bodies regularly face managing the challenges created by contractual change, falling rolls, workforce remodelling and changes in funding.

2. AIMS AND PURPOSE

The purpose of the Change Review Panel is to monitor, review and challenge any proposed organisational changes (Please see Change Review Panel Checklist). This includes changes to structures e.g. restructure, redundancies, additional posts etc.

A core team will review the practical and equality issues arising from strategic proposals as well as management suggestions and proposals.

The membership will be increased as required to incorporate additional Legal, Job Evaluation or other appropriate officers as required.

3. REMIT OF THE PANEL

- Review and provide advice on organisational change across the Authority's schools from the early stages of the proposals until completion.

- Monitor requests for potentially contentious restructures or re-evaluations or those with the potential to impact on other posts or other areas of the Authority and review individual cases which may be highlighted by the Job Evaluation Manager or by the HR Advisors.

- Monitor requests to set up new posts including requests for 'indicative' grades. Review individual cases as highlighted.

- Consider all proposals for changes to terms and conditions or for new terms and conditions to be established. Provide advice and respond to proposals. Monitor the application of existing terms and conditions.

- Consider any applications under the Authority's market supplement scheme to ensure they are supported by a business case and accord with the Scheme framework / guidance.

- Review any areas of concern highlighted by equalities monitoring.

- Monitor honoraria / acting up arrangements and review individual cases as highlighted.
- Consider any other issue that can be considered to fall within the group's remit.

4. FREQUENCY OF MEETINGS

Meetings to be held fortnightly or more frequently when required. Ad hoc meetings may be required to deal with 'one-off' issues e.g. major restructures.

5. MEMBERSHIP OF THE PANEL

The membership of the group may be reviewed from time to time but will initially consist of the following officers:-

Gareth Morgans	Chief Education Officer	}	Attendance
Aeron Rees	Head of Learner Programmes	}	within this
Andi Morgan	Head of School Effectiveness	}	group will be
Elin Forsyth	Principal Challenge Advisor	}	on a rota basis
Susannah Nolan	Group Accountant		
Julie Stuart	Senior HR Business Partner		

Additional officers may be invited to meetings where their advice is needed.

The Schools HR Advisors and Challenge Advisors may attend to consider proposals presented by schools in their respective areas. The HR Advisors will be the link officers between the Change Review Panel and Schools.

Wherever practical, each meeting will be attended by no less than one member of the Education Department Management Team; the Group Accountant or nominated representative; and the Senior HR Business Partner or nominated representative, but meetings will go ahead as long as there are sufficient attendees to reasonably carry out the business. Other key staff will be invited to attend the group to present information as and when required.

APPENDIX D.

Change Review Checklist

The Change Review Panel provides support and advice at an early stage to Headteachers / managers who are considering changes which have implications for structures and staffing. In general, schools who plan such changes thoroughly and well in advance can ensure that staffing implications can be planned for and discussed with employees and as a result the change is easier to manage.

It is expected that you will have discussed your proposed changes with your HR Advisor, Challenge Advisor and / or a representative of the Authority's Finance Team prior to, and during, the development of your proposals.

You may find it useful to refer to the Model Redundancy / Surplus Staffing Policy for Schools before developing your proposals.

Once in possession of the completed checklist and supporting documentation, your HR Advisor will facilitate a referral to the Change Review Panel, who will review the paperwork and determine whether it is necessary for you to attend a meeting of the Change Review Panel to discuss proposed changes. Your HR Advisor should also be available to attend CRP meetings with you if required.

1. Reason for Review

APPENDIX D.

2. Have alternative options been considered e.g. federation, partnership and collaboration, procurement etc.? (Please outline)
   Please ensure that you are able to evidence that the following reviews have been undertaken and that you can draw upon those reviews in shaping and presenting your conclusion:
   → Staffing (compared with typical staffing structures for a school your size nature etc.
   → Curriculum
   → Savings sought after line by line analysis of your budget expenditure and income

3. Anticipated impact on staffing structure and job roles:
   (Include a summary of changes in job numbers, types of jobs, reduction in hierarchies)

4. Current staffing structure and proposed staffing structure (in diagrammatic form) to include employee names (where possible) and post grades. (This can be attached as a separate document if preferred)

APPENDIX D.

5. Summary of changes to job roles
(Include changes in status, pay grade, responsibilities, supervision, reporting lines etc.)

6. Job profiles and proposed grades for all posts in the new structure

7. Summary of potential adverse impact on employees including potential redundancies and down grading of posts e.g. where job profiles have been assessed at a lower grade, employees' status in hierarchy is affected

8. Summary of potential impact upon, and strategies to manage and mitigate any risks (your Challenge Advisor will provide guidance):
   a) Educational Standards
   b) Curriculum Coverage (Statutory core and non-core subjects)
   c) WESP
   d) Successful Futures
   e) Learning and Skills Measure (Secondary)
   f) Teaching and Learning

APPENDIX D.

9. Cost of structure (current and proposed)
   Please attach separate sheet if necessary. If the proposed structure results in increased costs, please explain why and how this will be funded. Please also confirm that Finance have checked and confirmed costings.

10. Implementation Plan and Timetable
    (HR will advise on statutory consultation requirements)

You are now ready to present your full proposals to the Change Review Panel prior to consultation and implementation.

Please contact your HR Advisor to arrange a suitable date.

You will receive written confirmation of actions agreed within 5 working days of the meeting.

APPENDIX D.

CHANGE REVIEW PANEL FOR SCHOOLS
~ PROFESSIONAL COMMENTS ~

School Name: .....

Headteacher Name : .....

Date of Meeting (if appropriate): .....

Challenge Advisor Comments

Name: ..... (Challenge Advisor)

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

Finance Comments

Name: ..... (Schools Finance Manager)

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

HR Comments

Name: ..... (HR Advisor)

APPENDIX D.

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

APPENDIX E.

Redundancy Selection Criteria Guidance for Schools

1. INTRODUCTION

We are committed to providing a stable and secure working environment for our employees. However, there may be times and circumstances where contractual change, falling rolls, workforce remodelling and changes in funding may necessitate the need for redundancies.

This guidance should be read in conjunction with the Model Redundancy / Surplus Staffing Policy & Procedure for Schools and sets out the recommended approach to selecting employees for redundancy should a redundancy situation occur.

2. METHOD OF SELECTION

The Governing Body will consider the most appropriate selection method, taking account of the requirements of the school at the time.

Where there is no significant changes to roles, but there is a diminishing need for these roles, the method of selection will generally be by using a redundancy selection matrix, assessing employees against objective selection criteria; and Knowledge & Skills Questionnaires.

3. SELECTION POOL

The Staffing Sub Committee of the Governing Body will identify how many roles are at risk of redundancy and will determine a pool from which employees will be selected. The Governing Body will ensure that the pool for selection has been fairly defined. The pool will normally consist of employees who carry out the same, or similar work, and perform jobs that are interchangeable.

It may be appropriate, in exceptional circumstances, to propose the exclusion of an individual employee from the selection pool if they possess a unique skill or qualification which needs to be retained by the school e.g. British Sign Language etc.

In certain circumstances, it will not be necessary to determine a pool from which to select employees for redundancy, for example, where there is only one employee whose role is affected or where the whole school is closing.

This will be discussed during the first consultation meeting.

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4. SELECTION CRITERIA

Once the Staffing Sub Committee has determined the selection pool, the Staff Discipline & Dismissal (SD&D) Sub Committee will apply criteria to decide which employees from the pool will be provisionally selected for redundancy. The SD&D Sub Committee will ensure that, as far as possible, the criteria applied are objective, in that they are not based on the subjective opinion of the individuals applying the criteria.

The School will strive to use criteria that are measurable and supportable by documentary records, data or other evidence, for example, attendance, performance appraisal and supervision records (where appropriate), capability or disciplinary records etc.

In collective redundancy situations, selection criteria and weighting will be drawn up in consultation with recognised trade Unions. Care must be taken in agreeing criteria to ensure that it is not directly or indirectly discriminatory.

Some selection criteria are automatically unfair. The school will not select an employee for redundancy based on any of the following reasons:

- Pregnancy, including all reasons relating to maternity;
- Family, including parental leave, paternity leave (birth and adoption), adoption leave or time off for dependants;
- Acting as an employee representative;
- Acting as a Trade Union Representative;
- Joining or not joining a Trade Union;
- Being a part-time or fixed-term employee;
- Their age, disability, gender reassignment, marriage and civil partnership, race, religion or belief, sex or sexual orientation;
- Pay and working hours, including the Working Time Regulations, annual leave and the National Minimum Wage; and
- Asserting a statutory right.

The selection criteria that the school uses will depend on a number of factors, including the needs of the service at the time and the roles under consideration.

The following list gives examples of the criteria that may apply:

- <u>Relevant Knowledge and Skills</u>
  The school will distribute Knowledge and Skills Questionnaires to the established pool relevant to the job role, service users, customers and the school.

- <u>Relevant Qualifications and Training</u>
  To determine an employee's relevant qualifications and training record, the school will examine personnel files and training records. This may also be identified via the Knowledge & Skills Questionnaire.

- Length of Service
  Only as one of a number of criteria.

The particular selection criteria used will be determined, depending on any relevant business requirements at the time, taking into consideration any need to retain specific knowledge, skills and a balanced workforce.

5. APPLICATION OF SELECTION CRITERIA

The Staff Discipline & Dismissal (SD&D) Sub Committee will score employees against the selection criteria in a reasonable, fair and consistent manner. At least three governors will apply the criteria independently with advice from a HR Advisor, before they, as a panel, agree a score for each of the submissions.

The SD&D Sub Committee will not apply the selection criteria in a discriminatory manner, for example on the basis of part-time status, pregnancy or maternity leave. If an employee within the pool for selection is disabled, the school will consider reasonable adjustments to the selection procedure to remove any disadvantage that the disabled employee would otherwise face.

6. SCORING AND WEIGHTING

The SD&D Sub Committee will use a redundancy selection matrix to score each employee. The matrix will set out the criteria against which employees will be assessed in a clear and transparent manner. It will set out the scoring ranges and how much weight or importance the school attaches to each criterion.

The SD&D Sub Committee will score employees against the selection criteria by considering documentary evidence or other knowledge obtained about the employee. Employees will not be scored by comparing them against each other. It is important that scores are supported by accurate records and governors are required to provide documentary evidence for this purpose.

7. MAKING AN INDEPENDENT ASSESSMENT

Copies of the redundancy criteria, scoring matrix and Knowledge & Skills Questionnaires will be issued to the SD&D Sub Committee and each member will be required to make independent assessments of each employee against the agreed criteria.

Governors should consider the specific details of the criteria and make judgements, based upon evidence, and the score which an employee is assigned.

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When making judgements about performance, appraisal / review documentation should be examined and performance against targets should be measured. If during the selection process it becomes clear that employee performance records are incomplete for one or more employee, the performance criteria should be removed as a selection criterion.

If using knowledge and skills selection criteria, the specific requirements in relation to these areas should be identified at the outset of the process, so that fair and consistent judgements about individual employees can be made.

8. MODERATION

Once Governors have made independent assessments of employees and have assigned scores appropriately, a moderation exercise should take place where they agree the final scores as a Sub Committee, ensuring that the decisions made can be justified based on the information which has been assessed.

9. ENSURING EQUALITY OF OPPORTUNITY

This guidance must be applied consistently to all employees irrespective of race, colour, ethnic or national origins (including citizenship), language, disability, religion, belief or non-belief, age (except in calculation of redundancy compensation payments), sex, gender reassignment, sexual orientation, parental or marital / civil partnership status, pregnancy or maternity.

10. SELECTION CRITERIA DESCRIPTIONS

10.1 Relevant Qualifications and Training

Use of qualifications and training as a selection criterion should be based on the essential and desirable qualifications or equivalent listed in the person specification for the post. If there are no qualifications or training required for the post, then this selection criterion should not be used.

	Score
Fully qualified or equivalent as specified on the person specification	5
Part qualified and actively training towards full qualification	4
Part qualified and not actively training towards full qualification	3
Not qualified, not part qualified but training towards full qualification	2
Not qualified and not actively training towards full qualification	0

10.2 Relevant Knowledge and Skills

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Assessment of knowledge and skills should be based on those which will be required for continuing business / service needs. Allocation of scores should reflect the range of knowledge and skills that the individual has which are relevant to the job. It is important that assessments about knowledge and skills have a direct link to the job role which the individual is being assessed against and not broader skills strengths which, whilst valuable, have no bearing on the job role for which redundancies are being considered. Governors using knowledge and skills as selection criteria should make sure that they have clearly identified the full knowledge and skills set required for a job, so that fair assessments can be made.

The Staffing Sub Committee will set the selection criteria, in consultation with the trade unions, and arrange for the Knowledge & Skills Questionnaire to be populated ready for completion by all employees in the selection pool. The Headteacher will be available to assist the SD&D Sub Committee with the verification of responses.

10.3 Length of Service

Length of service is only to be used as one of a number of criteria.

To avoid unfair discrimination, length of service must NOT be used as a main criterion for selection. However, length of service may be used as a tie-breaker where, following scoring of other criteria, two or more employees are scored equally.

Where length of service is used, managers must obtain employee start dates from HR. The individual with the longest service, according to start date with the Authority, will be deemed as the employee to be retained in employment. The individual with the shortest employment will be selected for redundancy. Employment will be classed as Carmarthenshire County Council employment only and not continuous Local Government Service.

APPENDIX E.

Redundancy Selection Matrix

Employee Name: ..... Job Title: .....

School: ..... Department: .....

Criteria	Assessment	Evidence	Weighting	Score	Weighted Score	Notes
Relevant Qualifications / Training				/		
Relevant Knowledge / Skills				/ 5		
Length of Service			N/A	N/A		Tie Breaker Only
Total Score						

Assessor's Name: ..... Signature: ..... Date: .....

APPENDIX E.

Knowledge & Skills Questionnaire (Teaching Assistants)

Post Title: .....

Name of Employee: ..... Employee No.: .....

Please select only the criteria which is relevant to your individual school's situation from the list below. This list is not exhaustive.

Criteria	Yes / No (if yes, please provide evidence)	Points Awarded (Please refer to Key)	Weighting
NVQ Level 4 / HLTA or Degree level qualification			
CACHE Diploma or NNEB equivalent qualification			
NVQ Level 3 Qualification in Child Care			
NVQ Level 2 Qualification in Child Care			
SEN / ALN Experience / Qualification			
More Able & Talented Experience			
Experience / Particular skills in delivering support / enrichment programmes			
Experience of preparing pupils for National Literacy Tests			
Experience of preparing pupils for National Numeracy Tests			
Experience of making pupil assessments			
Foundation Phase Experience			
Key Stage 2 Experience			
Behaviour Management / Pupil Welfare			
Welsh Language Skills or Qualifications			
Musical Instrument Ability			

Points Key:

(Applies to all of the above)

3 Points = Current Responsibility / Current Evidence
2 Points = Recent but not current responsibility / evidence i.e. within the last 3 years
1 Point = Evidence of but not recent i.e. more than 3 years ago
0 Points = No evidence

Weighting

The Staffing Sub Committee should ratify the weighting factors at the start of the process, once the selection criteria has been agreed. Criteria should be listed in priority order. Each criterion may then be given a factor of 5, with the lowest priority given a factor of 1.

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Please note the weighting factor and the score should be multiplied to obtain the total for the specific criteria.

PLEASE NOTE:

- If an employee has been on maternity leave or long-term sickness covered by the Equality Act, the timescale (3 years) should be extended in line with the period of leave.

- The Staff Disciplinary & Dismissal Sub Committee will need to verify every response on this form. Submitting false information on this form may be deemed an act of Gross Misconduct under the School's Disciplinary Policy.

APPENDIX E.

Knowledge & Skills Questionnaire (Primary Teaching)

Post Title: .....

Name of Employee: ..... Employee No.: .....

Please select only the criteria which is relevant to your individual school's situation from the list below. This list is not exhaustive.

Criteria	Yes / No (if yes, please provide evidence)	Points Awarded (Please refer to Key)	Weighting
Do you hold a TLR2 / TLR?			
Have you held management responsibility other than a TLR?			
Experience of monitoring, assessing and reporting pupil progress across the curriculum at the end of Key Stages?			
SENCO Experience?			
ALN Experience?			
More Able & Talented Experience			
Experience of teaching Foundation Phase?			
Experience of teaching KS2?			
Curriculum Leader Core Subject English / Welsh Literacy?			
Curriculum Leader Core Subject Maths?			
Curriculum Leader Core Subject Science?			
Currently hold / previously held curriculum leadership development role for a foundation / Key Stage 2 subject? Please list.			
Welsh Language Skills?			
Experience of contributing to LEA / National Initiatives?			
Lead role experience in Global Awareness or Cultural Diversity?			
Digital Framework			

Points Key:

(Applies to all of the above)

3 Points = Current Responsibility / Current Evidence

2 Points = Recent but not current responsibility / evidence i.e. within the last 3 years

1 Point = Evidence of but not recent i.e. more than 3 years ago

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0 Points = No evidence

Weighting

The Staffing Sub Committee should ratify the weighting factors at the start of the process, once the selection criteria has been agreed. Criteria should be listed in priority order. Each criterion may then be given a factor of 5, with the lowest priority given a factor of 1.

Please note the weighting factor and the score should be multiplied to obtain the total for the specific criteria.

PLEASE NOTE:

- If an employee has been on maternity leave or long-term sickness covered by the Equality Act, the timescale (3 years) should be extended in line with the period of leave.

- The Staff Disciplinary & Dismissal Sub Committee will need to verify every response on this form. Submitting false information on this form may be deemed an act of Gross Misconduct under the School's Disciplinary Policy.

APPENDIX E.

Knowledge & Skills Questionnaire (Secondary Teaching)

Post Title: .....

Name of Employee: ..... Employee No.: .....

Please enter only the criteria which is relevant to your individual school's situation.

Criteria	Yes / No (if yes, please provide evidence)	Points Awarded (Please refer to Key)	Weighting

Points Key:

(Applies to all of the above)

3 Points = Current Responsibility / Current Evidence

2 Points = Recent but not current responsibility / evidence i.e. within the last 3 years

1 Point = Evidence of but not recent i.e. more than 3 years ago

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0 Points = No evidence

Weighting

The Staffing Sub Committee should ratify the weighting factors at the start of the process, once the selection criteria has been agreed. Criteria should be listed in priority order. Each criterion may then be given a factor of 5, with the lowest priority given a factor of 1.

Please note the weighting factor and the score should be multiplied to obtain the total for the specific criteria.

PLEASE NOTE:

- If an employee has been on maternity leave or long-term sickness covered by the Equality Act, the timescale (3 years) should be extended in line with the period of leave.

- The Staff Disciplinary & Dismissal Sub Committee will need to verify every response on this form. Submitting false information on this form may be deemed an act of Gross Misconduct under the School's Disciplinary Policy.

APPENDIX F.

Representation Meeting Protocol

The format of the representation meeting will be as follows:

- The Chair will introduce the parties present and will explain the procedure to be followed and the format of the meeting;

- The Chair will explain the reasons why the employee has been provisionally selected for redundancy with reference to the outcome of any skills audit or selection process. The employee and their representative may ask any questions relating to this.

- The employee and their representative will be given an opportunity to present reasons why s/he should not have been selected. This may include asking the SD&D Sub Committee to reconsider its initial selection decision. The employee is not permitted to add to the information given during the selection process or comment on the performance of others. The SD&D Sub Committee may ask questions relating to the points raised by the employee.

- The Headteacher may be asked questions by either the employee or the SD&D Sub Committee.

Having considered the representations from the employee, and answers given by the Headteacher, the SD&D Sub Committee and the HR Advisor will adjourn the meeting whilst it considers whether the member of staff will be dismissed on the grounds of redundancy or return to the previous stage of the process to select another member of staff for compulsory redundancy.

The decision may be given orally by the Chair of the SD&D Sub Committee and a letter confirming the decision will be sent to the employee(s) concerned. The right of appeal will be included.

APPENDIX G.

Redundancy Appeal Hearing Protocol

The format of the Appeal Hearing will be as follows:

- The Chair will introduce the parties present and invite the Headteacher and a representative of the Staff Discipline & Dismissal Sub Committee (normally the Chair of the Sub Committee) to present details of the process followed and how the decision to select the employee was reached;

- The employee and their representative will be given the opportunity to make an oral statement and / or submit a written submission to explain why they believe the original decision was unreasonable and why it should be overturned;

- All parties present will be given the opportunity to ask questions at relevant times during the process;

- The Headteacher / representative of the Staff Discipline & Dismissal Sub Committee, the employee and their representative will be given the opportunity to sum up their respective positions at the end of the meeting.

The Appeal Sub Committee and the HR Advisor will adjourn the meeting to consider its decision.

The Appeal Sub Committee will either:

- Ratify the nomination; or

- Overturn the decision.

The employee, Headteacher and Staff Discipline & Dismissal Sub Committee should be notified in writing of the outcome of the appeal within five working days of the date of the meeting.

APPENDIX H.

Redundancy Stages / Timetable

(To be used in conjunction with the Redundancy / Surplus Staffing Policy for Schools)

STAGE	ACTION	DATE
1	Identifying a Redundancy Situation Governing Body meet to consider the school's budget and current staffing structure, and determine potential redundancy situation. Decision taken to commence redundancy procedure. Equality Impact Assessment to be conducted at this stage.	__/__/__
2	Change Review Panel The Headteacher will complete a Change Review Panel Checklist, which s/he will discuss with their HR Advisor, Challenge Advisor and / or a representative of the Authority's Finance Team, following which a referral will be made to the Change Review Panel. If necessary, the Headteacher, with support from the School's HR Advisor, will attend a meeting of the Change Review Panel to discuss proposed changes.	__/__/__
3	Informal Meeting with Staff The Headteacher will hold an informal meeting with all affected staff to distribute relevant documentation and to explain the process that will follow. Employees should be invited to register an interest in voluntary redundancy, early retirement or a reduction in hours at this stage.	__/__/__ __/__/__
4	Formal Consultation The Headteacher will hold a First Consultation Meeting with staff to discuss the reason for the proposal, its impact and the selection criteria for redundancy. A Second Consultation Meeting will be held approximately 7-10 days later to revisit any outstanding issues from the first consultation meeting. Staff and Trade Unions should be advised of the date for close of consultation and issued with instructions for submitting comments and / or concerns regarding the process and / or the new structure.	__/__/__ __/__/__ __/__/__
5	Staffing Sub Committee The Headteacher will meet with the Staffing Sub Committee at close of consultation to discuss comments received from staff and Trade Unions, and to confirm any outcomes i.e. whether any volunteers have been identified. The Staffing Sub Committee will be responsible for endorsing any voluntary arrangements and for approving the selection criteria, timetable and deadline for submission of Knowledge & Skills Questionnaires.	__/__/__
STAGE	ACTION	DATE

APPENDIX H.

6	<u>SD&D Sub Committee - Selection Meeting</u> The SD&D Sub Committee will hold a Selection Meeting, where each member will, individually, consider the Knowledge & Skills Questionnaires against the agreed selection criteria before they, as a panel, agree a score for each submission. The Headteacher will be available to answer any questions of a technical nature. The Chair of the Selection Panel will notify the employee(s) selected for redundancy of the decision in writing, explaining the right of appeal and also the right to address the SD&D Sub Committee at a Representation Meeting.	__/__/__ __/__/__
7	<u>Representation Meeting</u> The SD&D Sub Committee will hear any representations from employee(s) selected for redundancy and either accepts representations or confirms the original decision. If the original decision is confirmed the employee must be notified in writing and reminded of the right of appeal. If the original decision is overturned, employees and Trade Unions will be advised and a new selection process will be undertaken, commencing at Stage 6.	__/__/__
8	<u>Appeal</u> The Appeals Sub Committee hears any appeal against the decision of the SD&D Sub Committee. The Appeals Sub Committee will either confirm the original decision or overturns it, in which case employees and Trade Unions will be advised and the process will revert back to the appropriate stage of the procedure.	__/__/__
9	<u>Notice of Redundancy</u> The Governing Body must advise the Local Authority of their decision without delay. A final notice of redundancy is issued by the Local Authority. * In the case of Voluntary Aided Schools, the notice will be issued by the Governing Body.	__/__/__

APPENDIX I.

Teachers Premature Retirement and Redundancy
Discretionary Compensation Policy

INTRODUCTION

It is recognised that schools may have to review their staffing levels and will have to reduce staffing numbers for a variety of reasons. Whilst this can often be managed without redundancies, this Policy provides details of compensation payments for teachers whose posts are made redundant or who are accepted as volunteers for redundancy.

It is the responsibility of the School's Governing Body to put forward recommendations for dismissal by reason of redundancy to the Local Authority (LA). The LA is required to comply with the governing body's recommendations and will issue the notice of dismissal. Both the School and the LA will make every effort to obtain redeployment for the employee concerned.

This Scheme complies with The Teachers (Compensation for Redundancy and Premature Retirement) Regulations 2015 No. 601, and The Teachers' Pension Scheme (Amendment) Regulations 2015; and should be read in conjunction with the Model Redundancy / Surplus Staffing Policy & Procedure for Schools.

There is a separate Discretionary Compensation Policy for School Support Staff who are members of the Local Government Pension Scheme (LGPS).

SCOPE

This Policy applies to all teachers who are members of, or eligible for entry to, the Teachers Pension Scheme and who voluntarily apply for and are accepted under the terms of the Schools redundancy process or whose posts are declared redundant (compulsory redundancy).

This policy also applies to centrally employed teachers who are directly employed by the Local Authority in terms of compensation payments but decisions regarding redundancy dismissals and redeployment are the sole responsibility of the Council.

GENERAL PRINCIPLES

It is the Local Authority's discretion to grant premature retirement and related benefits on the grounds of redundancy or organisational efficiency. Unreduced premature benefits can only be paid if the reason for payment complies with the current Teachers Pensions Scheme Regulations. For example:

- Premature retirement is not an option at the end of a fixed term contract (although it is an option if the redundancy or organisational efficiency causes the fixed term contract to end prematurely).

APPENDIX I.

- The employee must stop all teaching work before premature retirement payments can be made. If they are a supply teacher their contract must have ended. A non-working day is not a break in service.

- Premature retirement payments cannot be paid in addition to a severance payment.

Access to pension benefits is available when the teacher has reached the age of 55, has a minimum of two years continuous service at the termination date and where supported by a business case using the LA business case template.

A business case will be required for all redundancy severance terminations even when premature retirement is under consideration.

COMPENSATION FOR REDUNDANCY TERMINATION

Statutory redundancy payments are currently capped at £475 per week (figures effective from 1st October 2015) and also capped at 30 weeks maximum payment subject to age and service at date of leaving (See Appendix K).

Teachers who fall within the scope of this policy and who meet the appropriate eligibility requirements will receive one of the following:

Teachers who are eligible for release of pension	Access to premature retirement benefits and a redundancy payment based upon the statutory payment level
Teachers who are NOT eligible for release of pension	A redundancy payment based on actual salary, age and length of service of the teacher up to a maximum of 30 weeks

ORGANISATIONAL EFFICIENCY RETIREMENT

Early release of pension benefits may apply when employees retire in the interests of organisational efficiency. No other compensation is payable.

DISCRETIONARY SEVERANCE SCHEME - CENTRALLY EMPLOYED TEACHERS ONLY

Centrally employed teachers (i.e. those who are employed directly by the Local Authority) who apply for and are released on the grounds of voluntary severance under the terms of Carmarthenshire County Council's Discretionary Severance Scheme are eligible for:

- A severance compensation payment as outlined in the Severance Scheme; OR

- Access to premature retirement pension benefits (if aged 55 and over).

APPENDIX I.

BUSINESS CASE APPROVAL

Each redundancy and / or retirement of a Teacher must be supported by a business case which gives the reasons for the redundancy and / or retirement and details the cost to the Local Authority. This should be presented on the agreed business case template and should provide all the information required. Schools are recommended to liaise closely with their Finance Officer / Group Accountant and Human Resources Advisor when developing the case. It should then be signed by the Chair of the Governing Body, the budget holder within the Local Authority and agreement for the teacher's release by the Director of Education and Children's Services. The Business Case template is available from your HR Advisor or Group Accountant. Payments will only be approved when all corporate checks and validations are complete. A Teacher must not be released from employment until the business case has been fully approved.

The cost of redundancy and early retirement will be funded in full by the Local Authority unless the Council believes there is 'good reason' to recharge them to the school's delegated budget. 'Good reason' includes a deliberate disregard of the advice given by, or on behalf of, the Director of Education and Children's Services, Director of Corporate Services and / or the Assistant Chief Executive (People Management & Performance).

In the case of deliberate disregard of this advice, all costs, including redundancy payments and any costs arising at a later date, including costs relating to Employment Tribunal claims, may be recharged to the school's delegated budget.

It should be noted that the Local Authority will not meet the additional cost of benefits in the event that the retiring teacher's salary has increased by more than 10% except for the standard salary increases during the three years prior to retirement.

REVIEW

This policy will be reviewed on a regular basis.

APPENDIX J.

Discretionary Compensation Regulations

Discretions to be introduced on 9th August 2014

The Authority is required to publish its policy in respect of the Discretionary Compensatory Regulations under the Local Government Pension Scheme (LGPS). These discretions are subject to change, either in line with any change in regulations or by due consideration by the Authority. These provisions do not confer any contractual rights.

LGPS Regulations 2013

- The Authority has used its discretion not to contribute to a shared cost APC scheme **(Regulation 16 (2)(e) and 16 (4)(d)**.
- The Authority will consider whether all or some benefits can be paid if an employee reduces his/her hours or grade (flexible retirement). Each application will be considered on its own merits following full consideration of all financial and service delivery implications. The Authority may waive the resulting actuarial reduction on benefits paid on flexible retirement, in whole or in part, providing that appropriate supporting evidence is presented **(Regulation 30 - 6 -8)**.
- The Authority may waive, in whole or in part, the actuarial reduction on benefits which a member draws before normal pension age (early retirement), providing appropriate supporting evidence is presented and full consideration of all financial and service delivery implications **(Regulation 30 - 8)**
- The Authority has used its discretion not to grant additional pension to an active member or within 6 months of ceasing to be an active member by reason of redundancy or business efficiency **(Regulation 31)**

LGPS (Transitional Provisions, Savings and Amendment) Regulation 2014

- The Authority will consider all requests to "switch on" the 85 year rule for a member drawing benefits on or after age 55 and before age 60, providing that appropriate supporting evidence is presented and full consideration of all financial and service delivery implications **(Schedule 2, para. 1(2) and 2(2))**
- The Authority may waive, on compassionate grounds, the resulting actuarial reduction applied to benefits from pre 1 April 2014 membership, providing that appropriate supporting evidence is presented and full consideration of all financial and service delivery implications **(Schedule 2, para. 2(3))**

LGPS (Early Termination of Employment) (Discretionary Compensation) Regulations 2006

- The Authority will base the redundancy pay at actual weeks pay where this exceeds the statutory weeks pay limit (Regulation 5).
- The calculation for redundancy pay will be based on the statutory redundancy weeks pay x 1.5. e.g. under the statutory redundancy table the maximum redundancy weeks calculation is 30 weeks, the Authority will pay up to a maximum of 45 weeks. Where an individual has reached aged 55 they will also receive release of unreduced pension benefits built up to the date of termination (Regulation 6).
- For efficiency of service retirements where an individual has reached aged 55 they will receive release of unreduced pension benefits built upto the date of termination (Regulation 6).

Discretions Adopted at Full Council - 9 July 2014

APPENDIX J.

Discretionary Compensation Regulations

Discretions to be introduced on 9th August 2014

- Where there is a mutual agreement for the release of an individual under the Authority's Severance Scheme the Authority will use its discretion to give compensation payments based on actual salary. The discretionary payments will be based on age and service, with a multiplier to be applied of 1.5, and limited to a maximum of 45 weeks. Where an individual has reached aged 55 they will also receive release of unreduced pension benefits built up to the date of termination.

- 2 years continuous qualifying service is required to access these Compensation Arrangements.

LGPS (Benefits, Membership and Contributions) Regulations 2007

- Each request for early payment of deferred benefits on or after age 55 and before age 60 will be considered on its own merits following full consideration of all financial and service delivery issues. The Authority may waive the resulting actuarial reduction on compassionate grounds applied to deferred benefits paid early, providing that appropriate supporting evidence is presented. **(Regulation 30 - 2 and 5)**.

- The Authority has used its discretion not to augment membership for a member leaving on the grounds of redundancy or business efficiency on or before 31st March 2014 **(Regulation 12).**

- The Authority will consider all requests to grant an application for early payment or suspended tier 3 ill health pension on or after age 55 and before age 60, providing that appropriate supporting evidence is presented and full consideration of all financial and service delivery implications. The Authority may waive, on compassionate grounds, the actuarial reduction applied to benefits paid early, providing that appropriate supporting evidence is presented.**(Regulation 30A -3 and 5)**

LGPS Regulations 1997 (as amended)

- The Authority may grant application, from a post 31.3.98 / pre 1.4.08 leaver or from a councillor, for early payment of benefits on or after age 55 and before age 60, as appropriate and in light of the circumstances relating to each case. The Authority may waive, on compassionate grounds, the actuarial reductions applied to benefits paid early for a post 31.3.98 / pre 1.4.08 leaver or a councillor leaver, as appropriate and in light of the circumstances relating to each case **(Regulation 31 - 2 and 5)**

- The Authority may grant to councillor optants out and pre 1.04.08 employee optants who continue in service, to receive a pension and lump sum from their NRD without reduction, after taking into account the circumstances relating to each case **(Regulation 31 - 7A)**

Dyfed Pension Fund Administering Authority discretions are available on www.dyfedpensionfund.org.uk. The full list of discretionary policies for Carmarthenshire County Council can also be found on this site.

If you require this information in any other format please contact your HR Team on 01267 246100

Discretions Adopted at Full Council - 9 July 2014

APPENDIX K.

Statutory Redundancy Pay Table

Service (Completed Years)

Age	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
17	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
18	1	1½	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
19	1	1½	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
20	1	1½	2	2½	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
21	1	1½	2	2½	3	-	-	-	-	-	-	-	-	-	-	-	-	-	-
22	1	1½	2	2½	3	3½	-	-	-	-	-	-	-	-	-	-	-	-	-
23	1½	2	2½	3	3½	4	4½	-	-	-	-	-	-	-	-	-	-	-	-
24	2	2½	3	3½	4	4½	5	5½	-	-	-	-	-	-	-	-	-	-	-
25	2	3	3½	4	4½	5	5½	6	6½	-	-	-	-	-	-	-	-	-	-
26	2	3	4	4½	5	5½	6	6½	7	7½	-	-	-	-	-	-	-	-	-
27	2	3	4	5	5½	6	6½	7	7½	8	8½	-	-	-	-	-	-	-	-
28	2	3	4	5	6	6½	7	7½	8	8½	9	9½	-	-	-	-	-	-	-
29	2	3	4	5	6	7	7½	8	8½	9	9½	10	10½	-	-	-	-	-	-
30	2	3	4	5	6	7	8	8½	9	9½	10	10½	11	11½	-	-	-	-	-
31	2	3	4	5	6	7	8	9	9½	10	10½	11	11½	12	12½	-	-	-	-
32	2	3	4	5	6	7	8	9	10	10½	11	11½	12	12½	13	13½	-	-	-
33	2	3	4	5	6	7	8	9	10	11	11½	12	12½	13	13½	14	14½	-	-
34	2	3	4	5	6	7	8	9	10	11	12	12½	13	13½	14	14½	15	15½	-
35	2	3	4	5	6	7	8	9	10	11	12	13	13½	14	14½	15	15½	16	16½
36	2	3	4	5	6	7	8	9	10	11	12	13	14	14½	15	15½	16	16½	17
37	2	3	4	5	6	7	8	9	10	11	12	13	14	15	15½	16	16½	17	17½
38	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	16½	17	17½	18
39	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	17½	18	18½
40	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	18½	19
41	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	19½
42	2½	3½	4½	5½	6½	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½
43	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
44	3	4½	5½	6½	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½
45	3	4½	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
46	3	4½	6	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½
47	3	4½	6	7½	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
48	3	4½	6	7½	9	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½	23½
49	3	4½	6	7½	9	10½	12	13	14	15	16	17	18	19	20	21	22	23	24
50	3	4½	6	7½	9	10½	12	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½	23½	24½
51	3	4½	6	7½	9	10½	12	13½	15	16	17	18	19	20	21	22	23	24	25
52	3	4½	6	7½	9	10½	12	13½	15	16½	17½	18½	19½	20½	21½	22½	23½	24½	25½
53	3	4½	6	7½	9	10½	12	13½	15	16½	18	19	20	21	22	23	24	25	26
54	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	20½	21½	22½	23½	24½	25½	26½
55	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22	23	24	25	26	27
56	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	23½	24½	25½	26½	27½
57	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25	26	27	28
58	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	26½	27½	28½
59	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28	29
60	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28½	29½
61+	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28½	30

APPENDIX K.

To use the table, look up your age and the number of complete years' service you have with the employer. Where the two cross on the table, that is the number of weeks' pay you would receive.