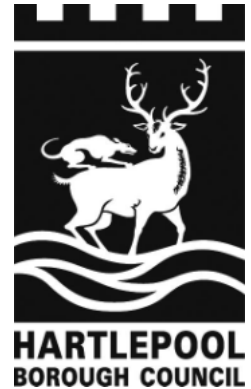


# **PERFORMANCE PORTFOLIO DECISION SCHEDULE**



**Wednesday 19 October 2011**

**at 10.00 am**

**in Committee Room C, Civic Centre, Hartlepool**

Councillor H Thompson, Cabinet Member responsible for Performance will consider the following items.

**1. KEY DECISIONS**

No items

**2. OTHER ITEMS REQUIRING DECISION**

- 2.1 Reorganisation, Redundancy and Redeployment Policy – Amendment to Redundancy Selection Procedure – *Chief Customer and Workforce Services Officer*

**3. ITEMS FOR INFORMATION**

No items

**4. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS**

No items

**5. LOCAL GOVERNMENT (ACCESS TO INFORMATION) (VARIATION)  
ORDER 2006**

**EXEMPT ITEMS**

Under Section 100(A)(4) of the Local Government Act 1972, the press and public be excluded from the meeting for the following items of business on the grounds that it involves the likely disclosure of exempt information as defined in the paragraphs referred to below of Part 1 of Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information) (Variation) Order 2006

## **6. EXEMPT KEY DECISIONS**

No items

## **7. OTHER EXEMPT ITEMS REQUIRING DECISION**

7.1 Qualification Based Training Applications (para 1) - *Chief Customer and Workforce Services Officer*

7.2 Approval for Compulsory Redundancy (para 4) - *Chief Customer and Workforce Services Officer*

## **PERFORMANCE PORTFOLIO**

**Report to Portfolio Holder  
19<sup>th</sup> October 2011**



**Report of:** Chief Customer & Workforce Services Officer

**Subject:** Reorganisation, Redundancy and Redeployment Policy – Amendment to Redundancy Selection Procedure

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### **SUMMARY**

#### **1. PURPOSE OF REPORT**

- 1.1 To seek approval for amendments to the redundancy selection procedure, Appendix 3 of the Council's Reorganisation, Redundancy and Redeployment Policy.

#### **2. SUMMARY OF CONTENTS**

- 2.1 This report sets out a summary of the changes and the process which has been followed before presenting the changes to the Portfolio Holder.

#### **3. RELEVANCE TO PORTFOLIO MEMBER**

- 3.1 All changes to Council Policy where the scope covers employment issues affecting employees must be approved by the Performance Portfolio Holder.

#### **4. TYPE OF DECISION**

- 4.1 This is not a key decision.

#### **5. DECISION MAKING ROUTE**

- 5.1 Portfolio Holder only.

#### **6. DECISION(S) REQUIRED**

- 6.1 That the Portfolio Holder approves amendments to the redundancy selection procedure, Appendix 3 of the Council's Reorganisation, Redundancy and Redeployment Policy.

**Report of:** Chief Customer & Workforce Services Officer

**Subject:** Reorganisation, Redundancy and Redeployment Policy – Amendment to Redundancy Selection Procedure

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## **1. PURPOSE OF REPORT**

- 1.1 To seek approval for amendments to the redundancy selection procedure, Appendix 3 of the Council's Reorganisation, Redundancy and Redeployment Policy.

## **2. BACKGROUND**

- 2.1 The Redundancy Selection Criteria (Appendix 3 of the Reorganisation, Redundancy and Redeployment Policy) has been reviewed by the Human Resources Business Team following its use during the CSR programme in 2010 which was the first time it had been applied in the Council.
- 2.2 The review of the process followed an evaluation of the process with trade unions to identify where improvements could be made in the way the criteria was used, scored and also in the process. Feedback was also given by employees and managers involved in the earlier exercise.
- 2.3 The main changes to the procedure include:
- General improvements to descriptions
  - Clearer appeals process
  - Changes to the scoring format
  - Summary score sheet introduced
- 2.4 The trade unions via Single Table have agreed the revisions.
- 2.5 Corporate Management Team Support Group has agreed the revisions.

## **3. RECOMMENDATION**

- 3.1 That the Portfolio Holder approves amendments to the redundancy selection procedure, Appendix 3 of the Council's Reorganisation, Redundancy and Redeployment Policy.

#### **4. BACKGROUND PAPERS**

- 4.1 Reorganisation, Redeployment and Redundancy Policy – Appendix 3 revised Redundancy Selection Criteria.

#### **5. CONTACT OFFICER**

- 5.1 Rachel Clark  
HR Business Partner  
Ext. 4346  
[rachel.clark@hartlepool.gov.uk](mailto:rachel.clark@hartlepool.gov.uk)

# **APPENDIX 3**

## **REDUNDANCY SELECTION CRITERIA**

<b>CONTENTS</b>		<b>PAGE No</b>
Redundancy Selection Criteria Information	Appendix 3a	3
Redundancy Selection Criteria Score Sheet	Appendix 3b	7
Redundancy Selection Criteria Employee Information Sheet	Appendix 3c	14
Quick Guide	Appendix 3d	19
Timetable	Appendix 3e	20

## REDUNDANCY SELECTION CRITERIA

### 1. Qualifications

This will consider the essential and desirable qualifications in accordance with the requirements for the post, professional and academic qualifications and certified training in areas relevant to the job.

### 2. Specialist Subject Knowledge and Responsibility

This will consider specialist knowledge and level of responsibility in areas of work that are most relevant to the post and which form a key element in the performance of the service.

Attendance at in-house training courses, evidence of relevant continuous personal development and the application of learning outcomes to the benefit of the service may be indicators of the specialist knowledge opportunities or how it is used.

There may be other evidence of the employee's wider expertise or levels of responsibility in sharing and developing knowledge by leading or participating in projects / other areas of work. For example, training, staff supervision, strategy, leadership, etc.

Assessment will be based on factual, relevant evidence supported by the employee's information form, the employee's personal file and the line manager's knowledge of wider service application of qualifications, specialist knowledge and levels of responsibility.

### 3. Overall Performance

This will consider performance in the current role relevant to the requirements of the post. Criteria identified in section 2, (specialist subject knowledge and responsibility) would also give an indication of key performance areas. Where possible, and appropriate, there should be objective evidence to support the selection such as supervision notes, capability records, appraisal records, or any other relevant documentation.

The assessment will incorporate, where possible:

- Performance targets
- Quality and accuracy of work
- Contribution to the service
- Performance delivery and improvement
- Flexibility and willingness to undertake a range of relevant duties
- Feedback and evaluation from customers, for example compliments and complaints
- Other performance related factors, such as completion of specific tasks and/or projects, meeting targets and deadlines, etc.
- Overall management assessment



#### 4. Skills – Additional and Relevant

List in the table the specialist skills and abilities, relevant to the role. To assist, this information may be obtained from the person specification. For example, facilitation skills, communication skills, team work skills.

#### 5. Discipline

Live warnings only should be used; others should be discounted.

Points	Criteria
10	No record
7.5	Informal Guidance (issued in the last 6 months)
5	Verbal Warning
2.5	First written Warning
0	Final written Warning

#### 6. Absence and Sickness Record

This will be based on an assessment against the employee's sickness and attendance record over the last 2 full financial years plus the current year to agreed date. Shorter periods of employment will be assessed on a pro rata basis. Please ensure you are aware of the reasons for the absence.

Only absences related to sickness or unauthorised absences will be included. Authorised absences will be excluded.

Disability related sickness absence will be excluded.

Sickness that is specifically related to pregnancy will be excluded.

Any further queries regarding specific sickness absence instances should be raised and discussed with Human Resources.

### **Criteria/Scoring for Absence/Sickness**

**(A) + (B) = total number to be added to overall score**

Working Weeks Absence (5 days per week)	Score (A)
None	5
Less than 5 days / 1 week	4
5 days/1 week but less than 10 days / 2 weeks	3
10 days / 2 weeks but less than 15 days / 3 weeks	2
15 days / 3 weeks but less than 20 days / 4 weeks	1
20 days / 4 weeks +	0

Occasions	Score (B)
0	5
1	4.5
2	4
3	3.5
4	3
5	2.5
6	2
7	1.5
8	1
9	0.5
10 or more	0

### **Examples**

1. Employee has one long term absence of 26 days (one occasion)

26 days	0 points
1 occasion	<u>4.5 points</u>
Total	4.5 points

2. Employee has 2 days absence followed by 3 days later on followed by a 1 day absence. A total of 6 days on 3 occasions

6 days	3 points
3 occasions	<u>3.5 points</u>
Total	6.5 points

3. Employee has a number of one and two day absences 1 day then 2 days followed by 1 day, 2 days, 1 day then a further single day totalling 8 days on 6 occasions.

8 days            3 points  
 6 occasions    2 points  
                          5 points

### **Criteria and Scoring Methodology**

- |    |     |   |
|----|-----|---|
| 1. | 10% | Qualifications                          |
| 2. | 15% | Specialist knowledge and responsibility |
| 3. | 40% | Overall performance in current role     |
| 4. | 25% | Skills – relevant and up to date        |
| 5. | 5%  | Discipline record                       |
| 6. | 5%  | Absence/sickness record                 |

### **Criteria/Scoring**

Use the scores as illustrated below – DO NOT split the scoring.

Criteria	Level 5	Level 4	Level 3	Level 2	Level 1
1. Qualifications – relevant	20	15	10	0	
2. Specialist knowledge	20	15	10	0	
3. Overall performance	80	60	40	20	10
4. Skills – additional/ relevant	50	40	30	20	10
5. Discipline	10	7.5	5	2.5	0
6. Absence/ Sickness record	See tables below				

- |         |   |  |
|---------|---|--|
| Level 5 | = | far exceeds the minimum requirements.                        |
| Level 4 | = | meets higher than minimum requirements.                      |
| Level 3 | = | meets the minimum requirements only.                         |
| Level 2 | = | meets less than minimum requirements.                        |
| Level 1 | = | meets significantly few or none of the minimum requirements. |

### **Tie-break**

In the event of a tie-break between employees then length of service with Hartlepool Borough Council will be used, with the person selected for redundancy having the least service. Previous service recognised under the redundancy modification order will not be considered.

## Appendix 3b



**STRICTLY PRIVATE & CONFIDENTIAL**

<b>Redundancy Selection Panel Employee Record Form</b>
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**Employee Name** \_\_\_\_\_ **Job title** \_\_\_\_\_

Department \_\_\_\_\_ Division/Service \_\_\_\_\_

Date of Panel \_\_\_\_\_

## 1) Qualifications

List in the table below, the essential, desirable, professional, academic qualifications and certified training requirements which are all **relevant** to the job. To assist this information may be obtained from the person specification / job evaluation documents.

Additional desirable, professional, academic qualifications and certified training requirements which are **relevant** to the job may be listed below to evidence the allocation of a higher score.

Level 1	Level 2 (0 points)	Level 3 (10 points)	Level 4 (15 points)	Level 5 (20 points)
	<i>Does not meet essential criteria</i>	<i>Meets essential criteria</i>	<i>Meets key desirable criteria (identify key criteria)</i>	<i>Exceeds key desirable criteria</i>
<i>Not used</i>	<i>Please comment</i>	<i>Please list</i>	<i>Please list</i>	<i>Please list</i>
Score				

## 2) Specialist Subject Knowledge and Responsibility

List in the table below the key areas of specialist knowledge and level of responsibility required for the role. Additional criteria you have identified which is **relevant** to the job may be listed below to evidence the allocation of a higher score. To assist information can be obtained from the person specification, development scheme, job evaluation profile and through continuous professional development.

<b>Level 1</b>	<b>Level 2 (0 points)</b>  <i>Does not meet essential criteria</i>	<b>Level 3 (10 points)</b>  <i>Meets essential criteria</i>	<b>Level 4 (15 points)</b>  <i>Meets key desirable criteria (identify key criteria)</i>	<b>Level 5 (20 points)</b>  <i>Exceeds key desirable criteria</i>
<b>Not used</b>	<i>Please comment</i>	<i>List criteria and level of responsibility</i>	<i>List criteria and level of responsibility</i>	<i>List criteria and level of responsibility</i>
<b>Score</b>				

### 3) Overall Performance

List in the table below the key performance criteria relevant to the job.

This will consider performance in the current role relevant to the requirements of the post. Criteria identified in section 2, (specialist subject knowledge and responsibility) would also give an indication of key performance areas. Where possible there should be objective evidence to support the selection such as appraisal records, supervision notes, capability records, or any other relevant documentation.

The assessment should incorporate, where possible:

- Performance targets
- Quality and accuracy of work
- Contribution to the service
- Performance delivery and improvement
- Flexibility and willingness to undertake a range of relevant duties
- Overall management assessment
- Feedback and evaluation from customers, for example compliments and complaints
- Other performance related factors, such as completion of specific tasks and/or projects, meeting targets and deadlines, etc.

- Level 5 = far exceeds the minimum requirements  
 Level 4 = meets higher than minimum requirements  
 Level 3 = meets the minimum requirements only  
 Level 2 = meets less than minimum requirements  
 Level 1 = meets significantly few or none of the minimum requirements

Overall Performance <i>Only identify key performance criteria relevant to the job</i>	Level 1 (10 points)	Level 2 (20 points)	Level 3 (40 points)	Level 4 (60 points)	Level 5 (80 points)

To score please divide the overall total score by the number of criteria used.

**Total Score**

#### 4) Skills and Abilities – Additional and also Relevant

List in the table below the specialist skills and abilities relevant to the role. To assist, this information may be obtained from the person specification. You may also consider other skills which are of benefit to the Council.

- Level 5 = far exceeds the minimum requirements
- Level 4 = meets higher than minimum requirements
- Level 3 = meets the minimum requirements only
- Level 2 = meets less than minimum requirements
- Level 1 = meets significantly few or none of the minimum requirements

Skills Required for the role (additional and also relevant)	Level 1 (10 points)	Level 2 (20 points)	Level 3 (30 points)	Level 4 (40 points)	Level 5 (50 points)

To score please divide the overall total score by the number of criteria used.

Total score

### 5) Discipline

Live warnings should only be used; others should be discounted

Points	Criteria
10	No record
7.5	Informal Guidance (issued in the last 6 months)
5	Verbal Warning
2.5	First Written Warning
0	Final Written Warning

Total Score

### 6) Absence and Sickness Record

Remember to discount pregnancy and disability related absences.

Working Weeks Absence (5 days per week)	Score (A)
None	5
Less than 5 days / 1 week	4
5 days/1 week but less than 10 days / 2 weeks	3
10 days / 2 weeks but less than 15 days / 3 weeks	2
15 days / 3 weeks but less than 20 days / 4 weeks	1
20 days / 4 weeks +	0

Occasions	Score (B)
0	5
1	4.5
2	4
3	3.5
4	3
5	2.5
6	2
7	1.5
8	1
9	0.5
10 or more	0

(A) + (B) = total number to be added to overall score

Total Sickness Score

Overall Total Score



Criteria	Additional Notes
1. Qualifications	
2. Specialist Knowledge & Responsibility	
3. Overall Performance	
4. Skills	
5. Discipline Record	
6. Absence / Sickness Record	

**Summary Feedback for Employee (if unsuccessful)**

Panel Member Name	Job Title	Signature

Redundancy Selection Decision given verbally to Employee by Manager (This must be given, where possible, within 24 hours of decision being made)

Date

Letter confirming decision and appeal process sent to Employee (This must be within 5 days of a decision being made)

Date

## REDUNDANCY MATRIX (SCORING ASSESSMENT)

CANDIDATE NUMBER	SELECTION CRITERIA					
	1	2	3	4	5	SCORE
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Signed.....(Panel Member)

Signed.....(Panel Member)

Signed.....(Panel Member)

Signed.....(HR Rep to Panel)

Date .....

## EMPLOYEE INFORMATION FORM

You have complete assurance that the information provided will be treated with strict confidentiality by the selection panel. Please ensure all sections are complete.

<b>SURNAME</b>	<b>FORENAME(S)</b>
Home Address	Home Telephone No
	Mobile Telephone No
Post Code	Work Telephone No (where applicable)

<b>EMPLOYING DEPARTMENT / DIVISION</b>	Date commenced current post
Department / Division	Job Title
Service	Hours of Work

SUMMARISE YOUR MAIN DUTIES & RESPONSIBILITIES	

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<b>QUALIFICATIONS – SUMMARY (1)</b> If proof of qualification is not held on your personal file then you will be required to submit a copy of your qualification.	

<b>Specialist Subject Knowledge and Responsibility: (2)</b>

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<b>Overall Performance (3):</b>

**Skills – Additional and Relevant (4)****Discipline Record** (where appropriate) (HR will provide this information if not available in service area) **(5)****Summary of Absence and Sickness record for last 2 financial years (Apr to Mar) plus current year** (where appropriate) (HR will provide this information if not available in service area) Please identify clearly if any absences are disability or pregnancy related. **(6)**

**Additional Information:** Please summarise any additional information you may wish to add in support of your application (you can submit additional sheets if necessary)

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

Please return the form as early as possible and by the specified date

**Guide to the Process**

- At least 10 working days before the meeting of the selection panel each 'pooled' employee will be issued by the appropriate manager a copy of the Redundancy Selection Criteria (Appendix 3a), and a Redundancy Selection Criteria Employee Information Form (Appendix 3c) to be completed by the employee and returned by a specified date (no less than 5 working days). There needs to be enough time identified for the appropriate manager to verify ALL the information submitted by the employee by cross checking against information held. If the Employee Information Form is not completed or returned then the selection panel can score the employee on all relevant information that is available. Where an employee is not at work then all attempts should be made to give an opportunity for them to complete and return the form.
- The selection panel will consider each employee in the pool against the job description and person specification for the post and current post requirements relating to the criteria set for redundancy selection. Each individual will be scored separately against the criteria and not against each other. The panel selection process does not involve an interview.
- The form submitted will be assessed against the criteria at Appendix 3a along with appropriate information held, for example, on the employee's personal file and information as advised by the line manager(s) or senior managers.
- The employee(s) receiving the lowest marks will be nominated for redundancy.
- The panel will keep confidential the scoring sheets for all pooled employees.
- Employees nominated for redundancy will be notified verbally, of the decision, by the appropriate manager, within 24 hours where possible, and informed that they have the opportunity of attending a pre-scheduled Redundancy Selection Outcome meeting with the manager, Human Resources and the employee representative (if represented). The purpose of this meeting is to provide the employee with the opportunity to seek clarity, raise queries or concerns relating to their selection.
- The manager will ensure the employee receives a copy of their score sheet at least 2 working days prior to the scheduled Redundancy Selection Outcome meeting. If the employee does not wish to attend this meeting they will still receive a copy of their score sheet.
- Employees not nominated for redundancy will receive in writing a letter informing them that they are no longer at risk of redundancy, subject to the outcome of any appeal which may be submitted by an employee selected.
- The appropriate Chief Officer will issue those employees nominated for redundancy their notice of redundancy following Member approval, as advised by Human Resources.



**Timetable**

<b>Date</b>	<b>Action</b>
	Selection panel meeting(s) set up with Independent Manager, nominated Manager(s) and HR Representative to score employees and complete the Record Form.
	Redundancy Selection Outcome meeting date, time and venue pre-scheduled with nominated manager, HR representative and employee representative (where represented). This must be at least 2 days after the selection panel meeting to ensure employee has a copy of their score sheet 2 days before the Outcome meeting.
	Issue Redundancy Selection Criteria Employee Information Record at least 10 working days prior to the panel date
	Employee returns the Redundancy Selection Criteria Employee Information Record to the nominated manager at least 5 working days prior to the panel date
	The nominated manager must check the validity of the information provided by the employee, including absence information.
	Following selection the nominated manager notifies the employees of the decision within 24 hours (where possible) notifying the selected employee of the scheduled Redundancy Selection Outcome meeting date
	The manager will ensure the employee receives a copy of their score sheet at least 2 working days prior to the scheduled Redundancy Selection Outcome meeting.
	The nominated manager will write out to employees not selected to confirm the outcome of the process, subject to the outcome of an appeal by an employee selected.
	Human Resources will then advise the manager of the next steps relating to redeployment and redundancy notices.