



# KALEIDOSCOPE

Multi Academy Trust

## REDUNDANCY POLICY AND PROCEDURE

July 2021

**This policy is based upon the North Somerset Model Policy**

**Approved by:** Kaleidoscope Trust Board  
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## **REDUNDANCY POLICY AND PROCEDURE**

### **1. STATEMENT OF INTENT**

- 1.1 Kaleidoscope Multi-Academy Trust (KMAT) is committed to ensure as far as possible the security of employment for its staff through careful forward planning. It is recognised however that there may be situations when it is necessary to reduce staffing for example in response to falling pupil numbers, budgetary problems, organisational or curriculum changes.

### **2. SCOPE AND DEFINITIONS**

- 2.1 This policy applies to all staff employed by KMAT Schools.

- 2.2 A redundancy is a dismissal and is defined in section 139 (1) of the Employment Rights Act 1996 where the dismissal is wholly or mainly attributable to:

- the fact that the employer has ceased or intends to cease to carry on the business for the purposes of which the employee was employed, or
- the fact that the employer has ceased or intends to cease to carry on that business in the place where the employee was so employed, or
- the fact that the requirements of that business for an employee to carry out work of a particular kind, or in the place where the employee was employed by the employer, has ceased or diminished or are expected to cease or diminish.

- 2.3 If none of the above apply, the reason for dismissal is not redundancy.

### **3. MEASURES TO AVOID OR MINIMISE REDUNDANCIES**

- 3.1 Schools will ensure that all reasonable alternatives to redundancy are considered. Staff and Trade Unions will be consulted on measures that might be taken to avoid or reduce redundancies or to mitigate the consequences and will be provided with the opportunity to offer possible solutions.

- 3.2 Alternatives might include:

- Normal resignations
- Vacancy management
- Ceasing or reducing the use of supply / casual / agency workers
- Examining options for retraining and redeployment
- Variations in employees' hours (including flexible working requests) or responsibilities by agreement
- Looking across other MAT schools for available positions
- Making savings in other budget areas
- Considering voluntary redundancies
- Seeking voluntary redeployment

## 4. CONSULTATION

- 4.1 KMAT is committed to ensuring meaningful consultation. The objective of consultation will be to seek the views of staff and Trade Unions on proposals and to minimise the requirement for compulsory redundancies.
- 4.2 Consultation will be initiated with relevant Trade Unions and staff directly affected by the proposals at the earliest opportunity. As part of the consultation process at least two meetings will be offered to individuals identified as at risk of redundancy. Consultation will also include staff indirectly affected, for example, staff being required to take on additional work and managers whose spans of control will be reduced if the proposed redundancies take effect.
- 4.3 Where a School is proposing to dismiss as redundant 20 or more employees at one establishment within a period of 90 days the legal requirement to follow a collective information and redundancy consultation process will apply. The detailed requirements are set out in **Appendix A**.

## 5. GOVERNANCE ARRANGEMENTS

- 5.1 The School will establish two panels with the appropriate delegated powers; Panel A and Panel B (see below). Both panels will have three Governors, wherever possible. Staff Governors will not be on either panel.
- 5.2 **Suggested responsibilities of Panel A are:**
- To consider staffing proposals and agree any proposed changes to the staffing proposals (within the remit delegated by the Local Governing Body (LGB))
  - To determine implementation arrangements for staffing changes including selection criteria and process for redundancy
  - To consult with recognised Trade Unions and staff in relation to the staffing review and to consider feedback from such consultation
  - To consider expressions of interest and applications for voluntary measures
  - To select and appoint to posts on the new structure and to consider and respond to representations from staff as part of this process
  - To select individuals for redundancy and to write to them to notify them of their selection and right of appeal against dismissal
- 5.3 The Head teacher may support the Panel in undertaking the above responsibilities as directed by governors.
- 5.4 The responsibility of Panel B will be to hear any redundancy appeals

## 6. EMPLOYEE SUPPORT AND ASSISTANCE

6.1 KMAT School will support reasonable time off, in line with statutory entitlements, to staff under notice of redundancy to enable them to seek alternative work or undertake training for future employment.

6.2 The MAT recognises the potential anxiety that staff face in such situations and will do everything reasonably possible to support them. Support offered may include the following areas, and will utilise internal and external expertise as appropriate:

- Information on pensions and other benefits
- Access to the Schools Employee Assistance provider
- Information on redundancy entitlements
- Assistance with applications / interviews etc.
- Training guidance and support

## 7. NOTICE PERIODS

7.1 Notice of dismissal will only be issued when consultation has taken place. Notice periods are set out below:

Staff Group	Notice Period (contractual)
Head teachers	30 September for dismissal on 31 December 31 January for dismissal on 30 April 30 April for dismissal on 31 August
Teaching staff	31 October for dismissal on 31 December 28 / 29 February for dismissal on 30 April 31 May for dismissal on 31 August  N.B Teachers who have been continuously employed for more than 8 years are entitled to receive additional notice up to a maximum of 12 weeks when their dismissal date is 31 December or 30 April
Support staff	As stated in individual contracts (not bound by term dates) and not less than statutory notice, up to a maximum of 12 weeks.

7.2 The School will notify the CEO of the outcome of the redundancy procedure and then issue notices of redundancy. The CEO will inform the Trust Board.

## 8. REDUNDANCY PAYMENTS

8.1 If an employee is dismissed on the grounds of redundancy they will be entitled to receive a redundancy payment provided they have at least 2 or more years' continuous service at the

date of the termination of their employment. Continuous service is defined by any service with an employer listed under the Redundancy Payments (Continuity of Employment in Local Government) Modification Order 1999 as amended. Redundancy payments are based on an individual's age, weekly pay and length of service up to a maximum of 20 years.

## **9. ALTERNATIVE EMPLOYMENT**

9.1 The School will make genuine efforts to ascertain whether there are any suitable alternative employment opportunities which could be offered to staff selected for potential redundancy (this is a statutory requirement). Further details on Alternative Employment are set out in **Appendix B.**

## **10. REDUNDANCY PROCEDURE**

10.1 This procedure sets out the steps to be taken when it is proposed to reduce staffing.

### **10.2 Proposal Document**

10.2.1 The Head teacher will prepare a proposal document which will include details of the following, where appropriate:

- The reasons for the proposal
- Relevant financial information
- Current staffing, including the numbers of staff in each staff group potentially affected (selection pool)
- Details of proposed staffing identifying the working groups from which the reductions are proposed to be made and the reason for this and the type and number of posts or hours it is proposed to reduce by
- Draft Job Descriptions for new posts and / or revised posts with indicative grading
- Steps already taken or planned to minimise possible redundancies, including staffing and non-staffing measures
- The proposed method for achieving the reduction and proposed selection criteria
- Voluntary options considered and whether expressions of interest in voluntary measures are being sought and, if so, from which staff groups
- Arrangements for consultation including timescale
- The proposed timetable including date by which the reductions will need to have taken place
- The Equality Impact Assessment

10.2.2 The Head teacher will present the proposal document to the Local Governing Body (LGB) and seek approval to initiate consultation. Panel A and Panel B will be established at this meeting along with their delegated responsibilities. Staff Governors would not usually be present during these discussions.

### **10.3 Initiating Consultation**

- 10.3.1 The Head teacher will initiate consultation with all staff potentially affected directly or indirectly by the proposals and with the Trade Unions. This will involve:
- Sharing the Proposal Document
  - Explaining the 'business' need for the proposed staffing reductions and discussing possible options / alternatives
  - Explaining the process to be followed and timescales (including how they can give feedback and access support)
  - Providing appropriate information, including the proposed selection criteria and methods (if available)
  - Inviting 'Without Prejudice' expressions of interest (where applicable) in voluntary measures, e.g. reduction in hours, redeployment, voluntary redundancy
  - Listening to any concerns raised and explaining the consultation process
  - Answering any questions from staff / Trade Unions
  - Outlining the support available
- 10.3.2 Comments on the proposals should be sought by the Head teacher within reasonable timescales (normally a minimum of 10 working days).
- 10.3.3 Trade Union and staff consultation meetings will be arranged where necessary as part of the consultation process.
- 10.3.4 Following the end of the consultation period any feedback will be presented to Panel A for consideration, along with any expressions of interest in voluntary measures, where relevant.
- 10.3.5 The final decision of Panel A regarding changes to the staffing structure and the proposed implementation arrangements including selection criteria and ring-fencing arrangements will be notified to staff and the Trade Unions in writing and will include:
- Confirmation as to whether expressions of interest in voluntary measures have been received and will avoid the need for compulsory redundancies
  - Details of how it is proposed to implement the changes to the staffing structure and the arrangements for staff and the Trade Unions to comment on these
- 10.3.6 Where significant changes are made to the staffing proposal following consultation, a further period of consultation may be undertaken before commencing implementation.

## **10.4 Implementation**

### **10.4.1 Voluntary Solutions**

- 10.4.1.1 Where Panel A have received expressions of interest it will ensure that relevant information is provided to enable individuals to make an informed decision e.g. estimate of redundancy payment / pension benefits or revised salary if considering a voluntary reduction in hours. Where Panel A are supportive of the voluntary measure the individual will be invited to put

their request in writing. Panel A will then provide written confirmation that the request has been approved / effective date. *Note: when a voluntary redundancy is agreed the cost of the redundancy lump sum will need to be met by the school and where the redundancy is linked to an early retirement the costs related to the 'strain on the pension fund' will, in addition, need to be met by the school so there may be occasions where a request is declined on the grounds of cost.*

## **10.4.2 Compulsory Redundancies**

10.4.2.1 Where compulsory redundancies are being considered the following information will be provided in writing to the Trade Unions:

- Numbers and job titles of staff it is proposed to dismiss as redundant
- The way in which staff will be selected for redundancy, including details of selection criteria and ring-fencing arrangements, where applicable

10.4.2.2 Consultation with Trade Unions and staff at risk of redundancy will be undertaken, if this has not previously happened. The purpose of this will be to explain and give Trade Unions and staff the opportunity to respond to the Schools:

- Proposed approach towards implementation; and
- The selection criteria and why they have been chosen.

10.4.2.3 Using the classification of posts outlined in **Appendix C**, those staff identified as being at risk of redundancy and from whom the selection for redundancy will be made, will receive written notification that they are 'at risk' and of the arrangements for selection.

## **10.4.3 Ring-fencing**

10.4.3.1 Arrangements for ring-fencing will take account of:

- Post(s) in the new structure which include areas of work that the employee is responsible for (the similarity / difference between the current and the new job description and whether or not the differences are significant / relate to key elements)
- The existing grade of the employee and the grade of the new post (however if an employee meets the essential criteria for a higher graded post and a post at an equal grade is not available to them, they will be eligible for ring fencing for the higher graded post)

## **10.4.4 Redundancy Selection Criteria**

10.4.4.1 The selection criteria may take account of:

- Operational requirements to meet the Schools current and future needs (School Improvement Plan)



- Maintaining a balanced workforce in terms of skills mix to meet the requirements of the school
- Current job proficiency evidenced through skills, training, performance and experience
- Attendance records, including reasons for absence or poor timekeeping
- Disciplinary records (only current warnings may be taken into account)
- Adaptability and suitability for retraining within a reasonable period
- Financial considerations

10.4.4.2 Absence will be disregarded if it relates to:

- Disability
- Pregnancy
- Maternity or other family-friendly leave
- Work related industrial injuries

#### **10.4.5 Redundancy Selection**

10.4.5.1 This will normally involve a competitive selection process, i.e. selection interview, lesson observation, work based assessment or the completion of a skills audit with individuals identified as 'at risk' completing a skills audit form and being assessed against the redundancy selection criteria.

#### **10.4.6. Individual Consultation**

10.4.6.1 In accordance with legal requirements, the School will enter into meaningful consultation with each individual selected for potential redundancy. The purpose of this consultation will be to provide the opportunity for a two way dialogue with the objective of finding ways of avoiding the dismissal if at all possible e.g. reduction in hours, job sharing, suitable alternative employment.

10.4.6.2 It will be explained to the employee the basis upon which they have been proposed for redundancy and the employee will be given their selection scores. The employee will be entitled to be accompanied at any individual consultation meeting by their Trade Union representative or a work colleague.

10.4.6.3 Panel A will consider any representations made by the employee before finalising a decision regarding the employee's proposed redundancy. A written statement will be provided to the employee confirming the decision of Panel A. Where the decision is dismissal on the grounds of redundancy, written notice will be issued along with notification of the reasons why the employee has been selected for redundancy and their entitlement to appeal against their dismissal.

10.4.6.4 The employee does not have to attend this consultation meeting where they accept their proposed redundancy and do not wish to make any representations.

10.4.6.5 Indicative offers will be made where appropriate, based on the outcome of the selection process. These offers will be confirmed when the appeals process has been concluded.

## **11 APPEALS**

11.1 All employees have the right of appeal against a decision of dismissal on the grounds of redundancy. The appeal must be in writing to the Head teacher within 10 working days of the date of the letter confirming the decision of Panel A. An appeal will be considered by the Governor Appeals Panel (Panel B).

11.2 The appeal must include specific details of the reasons why the employee considers that they should not be selected for redundancy.

11.3 Following the end of the appeals process, indicative appointments will be confirmed, if appropriate.

## **12 SETTLEMENT AGREEMENTS**

12.1 The School recognises that there may be circumstances in which an employee does not want to go through the redundancy process and may wish the School to consider a request for ending the employment relationship through a Settlement Agreement. Any such requests would need to be in writing to the Head teacher and will be considered by Panel A.

## **13.0 CONFIDENTIALITY AND RECORDS**

13.1 All individuals involved in the redundancy process have a responsibility to maintain the confidentiality of personal information in their possession.

13.2 Records of the outcomes of all meetings with employees under this Policy will be kept.

13.3 All records will be kept confidential, used and retained in accordance with the General Data Protection Regulation (GDPR) and the Data Protection Act 2018.



Trustee Board Chair

14/7/21

## **APPENDICES**

## APPENDIX A - COLLECTIVE REDUNDANCY AND CONSULTATION

Where it is proposed to dismiss 20 or more employees within a period of 90 days the following additional legal requirements will be accounted for within the redundancy process:

### 1. Statutory notification of redundancies to the redundancy Payments Service (RPS)

The school will notify the Redundancy Payments Service (RPS) using the appropriate form (HR1) (<https://www.gov.uk/government/publications/redundancy-payments-form-hr1-advance-notification-of-redundancies>) of the proposed redundancies before the consultation starts and in accordance with the following timescales:

Number of Proposed Redundancies	When notification to the RPS must be given
20 -99	30 days before the first redundancy
100 +	45 days before the first redundancy

### 2. Collective consultation

Trade Union representatives or elected employee representatives or staff (where no representatives) will be consulted. The following information will be provided on the planned redundancies:-

Information to be provided to Trade Unions / Employee representatives / Staff
The reasons for the redundancies
The numbers and categories of employees involved
The numbers of employees in each category
How the School plans to select employees for redundancy
How the school will carry out the redundancies
Details of redundancy payment entitlement

The minimum statutory consultation periods are:

Number of proposed redundancies	Minimum consultation period before dismissal
20 to 99	30 days
100 +	45 days

The School will respond to any requests for further information.

## APPENDIX B - ARRANGEMENTS FOR ALTERNATIVE EMPLOYMENT

If a post anywhere in the School becomes vacant during a restructuring, the Head teacher will, in the light of any anticipated redundancies and with appropriate consultation, consider whether it should be (i) held vacant or (ii) filled on a temporary basis. This will depend on whether it would offer a redeployment opportunity in the shorter or longer term or provide an alternative budget saving.

Staff who have been advised that their jobs are at risk of redundancy will be given priority consideration for suitable redeployment opportunities during the individual consultation or notice period as follows:

- Where suitable posts are advertised at their current or other KMAT schools, staff at risk will be given prior consideration i.e. will be interviewed before other applicants if they meet the essential job requirements.
- Factors taken into account when considering whether to afford an at risk employee a priority interview will include: skills and qualifications, experience, and their potential including training requirements.
- Priority will not normally be afforded for posts more than two grades below the employee's current post, as this would not normally constitute suitable alternative employment. Staff applying for a higher graded post will not normally be afforded priority if they do not meet the essential requirements of the post.
- If an employee at risk of redundancy has been unsuccessful, they will be provided with a written statement setting out the reasons why they were not successful. In all cases, every reasonable attempt will be made to redeploy individuals and to provide relevant training and support in order that they can successfully fill the role.
- Any offers of redeployment will be made in writing before the date employment ceases. Offers will also contain details of the 4 week trial period, as set out in s.138 of the Employment Rights Act 1996 to give the employee and the School a chance to consider whether the new job is suitable without the employee necessarily losing the right to a redundancy payment. The trial period may be extended by mutual agreement or for the purposes of an agreed programme of retraining.
- If the employee works beyond the end of the four week period the employee will be deemed to have accepted the new employment (unless agreed otherwise), notice of termination will be withdrawn (where this has been issued) and they will be issued with a contract of employment in connection with their new role. Any entitlement to a redundancy payment will be lost.
- If during the trial period the work is considered not to be suitable by the employee, and the School agrees that this is the case, and a decision is taken to terminate employment, the employee will be dismissed for redundancy under the terms and conditions of their old post.
- Where an employee unreasonably refuses an offer of suitable alternative employment they will lose their entitlement to a redundancy payment.

## APPENDIX C - CLASSIFICATION OF POSTS ON NEW STAFFING STRUCTURE

In determining whether an individual is 'at risk' of redundancy' the employee will be classified according to whether their post is unchanged, changed or deleted on the new staffing structure.

**Unchanged** i.e. an employee's job remains the same on the new structure. The employee should be assimilated / slotted in to the post without the requirement to participate in a selection process. Where the employee can be directly assimilated they will not be considered 'at risk' of redundancy. Where the number of unchanged posts on the new structure is reduced resulting in there being more individuals than suitable posts, the relevant employees will be considered as 'at risk' and ring-fenced for these posts and will be required to participate in a competitive selection process.

**Changed** i.e. the employee's job has changed significantly. Where this is the case the School will determine the appropriate ring-fencing arrangements, selection criteria and selection process. Where there is an equal number of employees to changed posts on the new structure, the option to slot in employees may be considered, if appropriate. In these circumstances the Head teacher or their representative will meet with the employee to determine whether their skills and experiences match the essential requirements of the relevant job (allowing for the possibility of re-training where practicable).

**Deleted** i.e. the employee's post ceases to exist on the new staffing structure. The employee will be ring-fenced for other posts on the new structure as appropriate.

**New** i.e. a new job has been created on the new staffing structure for which there is no comparable post on the existing staffing structure. The School will determine ring-fencing arrangements, selection criteria and the selection process.