

The RCH Group Workforce Establishment Planning Policy 2018

Personnel Committee Approval: 14 th November 2018	Policy Manager: Maureen Gimby	Reviewed: Aug 2018 Next Review: Aug 2021
--	----------------------------------	---

This document can be made available, on request, in other formats such as in larger print, audio-format, Braille and in other languages

1. Purpose and Aims of the Policy

- 1.1 River Clyde Homes (RCH), its subsidiary, River Clyde Property Management (RCPM) and any future subsidiary created within what will be known as the RCH Group, is committed to providing value for money through managing its people and skills resources effectively. The maintenance of accurate staffing establishment information, including the staff demographics profile, is critical to meaningful forward planning from both a budgetary and workforce planning perspective.
- 1.2 The objectives of this policy is to ensure an alignment between the RCH Group employee establishment and its strategic goals to ensure that it has a sufficient number and mix of employees with the appropriate skills, qualifications and capabilities to deliver effective services.
- 1.3 The RCH Group does this through maintaining accurate and up to date staffing establishment figures across its Group organisations. This ensures that each Directorate and Subsidiary has regular and accurate information on its staffing establishment to enable the Executive Management Team (EMT) to manage and control the costs of employees, together with ensuring the correct authorisation approvals have been granted for any amendments to either the current staffing establishment or for future workforce planning. Effective recording and budgetary control of the staffing establishment figures are imperative to good corporate governance requirements.
- 1.4 The Workforce Establishment Planning Policy forms a fundamental management control for the RCH Group. This policy and relevant procedures have been developed to provide guidance to the EMT, Heads of Service and operational managers and all those involved in the budgeting, resourcing and recruitment of staff. It will enable all budget holders to ensure that all changes to the staffing establishment and recruitment activities are aligned to the Group's workforce needs, whilst ensuring that workforce resources are managed robustly and consistently.

2. Scope of the Policy

- 2.1 This policy and all resultant procedures will apply to all employees in the RCH Group organisations.

3. Policy Principles

- 3.1 This policy will guide the RCH Group in its application of how we will support the management of the Group workforce establishment. It will also support the continuing change management process and fine tuning of the organisational, directorate, subsidiary structures and the review of key services required to support business needs.

- 3.2 The RCH Group organisational structures will be regularly reviewed to ensure that the right people with the right skills, experience and leadership qualities are appointed to vacant or new roles. This will ensure the progress of potential growth options and develop recommendations that will support the Board's ambition to "grow the business" and to undertake 'trading' activities.
- 3.3 The RCH Group will develop succession planning programmes, including secondment opportunities where possible, that will support our internal talent pool to develop key skills required for future job roles, especially those that are business-critical and/or senior roles. This will build our internal talent pool and enable them to be more competitive should senior or business-critical roles be advertised externally as part of the recruitment campaign.
- 3.4 The RCH Group will comply with all aspects of employment law and statutory obligations as a result of any proposed organisational changes, including any potential redundancy situations which may result from these proposals.
- 3.5 This policy and its relevant procedures will minimise the effect of any proposed organisational changes will have on the RCH Group employees as much as is reasonably possible.
- 3.6 This policy and its relevant procedures will replace the redeployment policy and any other statement relating to workforce planning/change management.

4. Key Roles and Responsibilities for Workforce Establishment Planning

4.1 Chief Executive

The Chief Executive has the responsibility to report to the Board on the manner in which the staffing establishment for the RCH Group organisations is co-ordinated and managed, including the numbers and grades of employees required to do this. The Chief Executive is also responsible for reporting to the Board any proposed amendments to the staffing establishment for the RCH Group organisations and the reasons for the proposed changes and for signing off all new Business Case applications.

The Business Case for Workforce Establishment Change is attached as Appendix 1 to this Policy.

4.2 Executive Directors

The Executive Directors have responsibility for their Directorates and/or subsidiaries. They must also:

- Work within their agreed establishment numbers and budget;
- Sponsor and sign off all relevant Business Cases for any establishment changes or requests in their Directorates and/or subsidiaries and present Business Cases to the EMT for consideration;
- Work with the Finance Team to set their establishment budget for the coming year

- Ensure confirmation received from the Finance Team that sufficient funds are available before appointing any temporary staff or establishing a supernumerary post;
- Ensure that the HR Team has carried out an assessment on the staffing establishment figures that all employment alternatives have been considered prior to submission of any Business Case.

4.3 Heads of Service

The Heads of Service have responsibility for managing their establishment figures and will undertake monthly reconciliations of salary expenditure and follow-up any inaccuracies and discrepancies in a timely manner with the HR and/or Finance Teams as required. They will also have responsibility for ensuring that any new establishment Business Case documentation is completed and forwarded to the appropriate Executive Director for sponsorship.

4.4 Trade Unions / Employee Representatives

The RCH Group will consult with its trade union partners or employee representatives, whichever is appropriate, if the proposed staffing establishment amendment(s) is likely to affect the whole of RCH or it will consult with the relevant trade union(s) / employee representatives for the affected membership group to which it has consultation arrangements with. RCH will also consult with the relevant trade union(s) / employee representatives on the likely impact this/these proposal will have on current staffing establishment levels. Whilst every effort will be made to provide a new job role for employees following any proposed structure changes process, there may be a potential risk of redundancy for some posts and these will be kept to a minimum, where possible.

5. Workforce Establishment: Potential Risk of Redundancy

5.1 In the event of a potential risk of redundancy situation in any one of the RCH Group organisations, senior management will disclose relevant information to its trade union partners or employee representatives, whichever is relevant, if there is a likelihood of potential redundancies. In these instances, senior management will disclose the following information:

- The background and business case for the proposed structure amendments
- The reasons for the proposed redundancy(ies)
- The total number of employees affected by the proposals
- The number and description of employees whom it proposes to dismiss (either voluntary or compulsory)
- Proposed method of selection for redundancy
- Proposed method of how the dismissals will be carried out, including the period over which dismissals are to take effect
- Proposed method of calculating redundancy pay
- The timetable for implementing the proposed structure amendments

- 5.2 In addition, as in any organisational structure changes which has the potential for redundancy, the RCH Group has a statutory responsibility to assist employees in finding suitable work as a means of reducing the numbers dismissed due to redundancy. Senior management will make every effort to secure alternative employment for all employees at risk of redundancy, wherever possible, and will ensure that all employees are treated fairly in any and all selection methods.
- 5.3 The RCH Group will comply with the statutory regulations relating to redundancy situations. It will commit to extensive consultation with the relevant trade union(s) or employee representatives, whichever is relevant, and the wider staff body for a minimum consultation period of 30 days. This consultation will involve consideration of the proposed structures amendments.
- 5.4 Notwithstanding 5.3 above, if less than 20 employees are at risk of redundancy, individual consultation will also take place with the affected employee(s) with their representatives in addition to collective trade union or employee representatives' consultation.
- 5.5 The RCH Group will consider any representation or counter proposal submitted in writing by affected employees, the appropriate recognised trade union(s) or employee representatives, whichever is relevant, and will respond in writing within 10 working days to any submissions received during the consultation period. Where it rejects representations in whole or in part, the reasons for rejection will be stated in writing.
- 5.6 Full details on the application of how any potential risk of redundancy situation will be managed in any company within the RCH Group is contained within the At Risk of Redundancy Procedures related to this Policy.
- 5.7 ***The agreed Voluntary Redundancy Compensation Payment Scheme is attached as Appendix 2.***

6. Job Evaluation

- 6.1 The RCH Group is committed to complying with equal pay principles and operating a pay and reward system in each of its group companies which is fair and based on objective criteria for the job roles within the Group. Job evaluation underpins the approach the Group will take to comply with these principles and all new posts will go through a process of job evaluation.
- 6.2 Any new senior management posts within the RCH Group (Chief Executive Officer, Executive Directors and Heads of Service) will be externally evaluated against comparative organisations and other sector comparators. All other posts will be evaluated using the Northgate (GLPC) job evaluation system licensed to RCH.
- 6.2 A re-evaluation of any job role will automatically be carried out following any substantial amendments made to the job role as a result of business change. The Head of Service/Executive Director, whichever is relevant, will have responsibility for submitting the amended job role for re-evaluation. If a re-grading of the job role

is warranted following the re-evaluation, this will be applied and the establishment figures updated to reflect the new grading. Full details within the RCH Group is contained within the Job Evaluation Procedures related to this policy.

7. Related Documents

- The RCH Group Organisational Development Strategy
- The RCH Group Scheme of Delegation
- The RCH Group Equality & Diversity Policy
- The RCH Group At Risk of Redundancy Procedures
- The RCH Group Job Evaluation Procedures
- The RCH Group Voluntary Redundancy Compensation Scheme
- The RCH Group Staffing Establishment Business Case

8. Related Legislative and Statutory Framework

- Equalities Act 2010
- Employment Rights Act 1996
- Trade Union and Labour Relations (Consolidation) Act 1992

9. Key Stakeholders

- All RCH Group Board Members
- All RCH Group Employees
- Trade Union Partners and Employee Representatives

10. Equalities Impact Assessment

10.1 *The Equalities Impact Assessment for this policy is attached as Appendix 3.*

11. Monitoring and Review of Policy

11.1 The Head of Corporate Services has responsibility for monitoring the effectiveness of this policy and its relevant procedures and documentation. It will be reviewed on a three-yearly basis or earlier if required to respond to new legislation, regulations or best practice requirements. Any review will take account of the views of the trade union partners or employee representatives who use this policy and its relevant procedures on a regular basis.

Staffing Establishment: Business Case

Proposer Name & Designation	Directorate/Business Unit

New Permanent Role <input type="checkbox"/> Temporary / Fixed Term Contract <input type="checkbox"/> Replacement Role <input type="checkbox"/> Responsibility Payment Request <input type="checkbox"/> [please indicate which contract type seeking approval)	Date <input style="width: 80%;" type="text"/>

1. Introduction

Give a brief description of the proposal including the key objectives of the job role:

2. Strategies relating to Business Case

Identify aspects of the Business Plan and/or Goals, Strategy that are addressed. This may include the result of a statutory change, audit action etc.

3. Performance Improvements /Return on Investment for Business Case

What are the opportunities and benefits for the Group:

4. Implications of not undertaking Proposal

What problems will arise if the proposal does not go ahead/is not supported?

5. Alternatives for consideration

What are the alternatives to undertaking the proposed job role(s)?

--

6. Risks

What risks are involved in implementing the proposal and how will they be managed?

Proposal Delivery

Risk Event	Risk Mitigation

Business

Risk Event	Risk Mitigation

Technology

Risk Event	Risk Mitigation

7. Proposed Budget & Running Costs

What is the summary of the total costs for the proposed job role?

Budget Code	£ Value	Please detail all costs associated with proposal
TOTAL		

8. Payback /Return on Investment

How and on what timescales will the projected costs be recouped as savings or benefits?

9. Budget Approval (for completion by Head of Finance or Finance Manager)

Has budget been identified and, if applicable, is vired into employee costs budget line:

10: HR Position (for completion by Head of Corporate Services or Senior HR Advisor)

Has this vacancy been assessed for any other employment alternatives (ie redeployment, temporary secondment etc)?:

11. Executive Director Sponsor Summary

EMT Discussion Meeting: Date

Has the proposal been approved, rejected, deferred etc. and do any conditions apply?

Chief Executive Final Sign-off

Date Approved

HR ONLY

Establishment Structure Updated

Payroll Notified

Simply Personnel Updated

NEW VOLUNTARY REDUNDANCY PAYMENT SCHEME FROM 2017

Voluntary Redundancy Compensation Payment (VRCP)

Conditions:

- Must have 2 years of continuous service
- Payment based on actual weekly pay, basic salary only
- Payment for each full year of service, based on the employees age as follows:

Under 22: 1 week's pay per full year
22 – 40: 1.75 week's pay per full year
41 and over: 2.5 week's pay per full year
- Maximum number of years service = 20
- Maximum number of weeks pay = 50
- Payment in lieu of notice will also be made in addition to the VRCP payment
- No award of additional years pensionable service for any employee in the Strathclyde Pension Scheme (SPS)
- SPS members aged over 50 will receive a VRCP based on the statutory scheme only and the total VfM to RCH must be recovered within a 2-year timescale. If this is not achievable, the employee may use the VRCP to “fund” the additional costs to RCH. Any employee in this category must satisfy the VfM conditions

EQUALITY IMPACT ASSESSMENT (EIA) SCREENING PROCESS

RCH's equality impact screening process is used to ensure that our policies and practices:

- eliminate any unlawful or unfair forms of discrimination in respect of the protected characteristics and other grounds; and
- promote our equality charter.

The EIA screening process involves two main elements: firstly, an initial policy audit against a range of key standards and, secondly, an assessment of the effects of policy documentation on the relevant issues.

It is critical to note that, although the Equality Act 2010 focusses on a range of protected characteristics, individual people should not be defined by these characteristics. Indeed, individual people will “have” a range of protected characteristics at any one point in time; and needs vary through time. For example, a non-disabled person can become a disabled person at any time; while younger people move into older age groups naturally.

EIA: Staff template

The staff template covers five procedural sections: background; the public sector equality duty; the internal EIA; the external EIA; and consultation issues.

Section 1: Background

Name of policy under assessment:	Workforce Planning Establishment Policy 2018
New or existing policy (please specify):	New policy (bringing together previous policies of Managing People Through Change; Redeployment policy statement; Redundancy policy statement)
Key aims of the policy under assessment:	<p>To meet the requirements and obligations of:</p> <ul style="list-style-type: none"> • providing value for money through managing the people and skills resources effectively across the RCH Group; • ensuring alignment between the RCH Group employee establishment and group strategic goals for delivering improved services • complying with the provisions of the Equality Act 2010 and other employment law and statutory obligations
Service or department:	The Corporate Services Department
Person(s) responsible for the assessment:	Nicola Campbell, Senior HR Advisor
Date of assessment:	27 August 2018
Internal sources to RCH	Board, SMT, EMT, Managers, all RCH Group employees, trade union partners and other employee representatives
External sources to RCH	All RCH Group customers, customer groups and other stakeholders, including potential future employees

Section 2: The Public Sector Equality Duty

This decision is based on the following rationale (briefly explain why any of the three issues are relevant for this policy):

General Duty	Is the Policy Likely to have Equality Impacts?	
Elimination of unlawful discrimination, victimisation, or harassment	Yes	
Briefly explain why: <ul style="list-style-type: none"> It ensures that all RCH Group employees are treated fairly in all matters relating to organisational or Group structure changes regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation, including social class or personal characteristics 		
Advancement of equality of opportunity between people with and those without protected characteristic	Yes	
Briefly explain why: <ul style="list-style-type: none"> It ensures that all RCH Group employees are treated fairly in all matters relating to organisational or Group structure changes regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation, including social class or personal characteristics 		
Fostering good relations between people with and those without protected characteristic	Yes	
Briefly explain why: <ul style="list-style-type: none"> It ensures that all RCH Group employees are treated fairly in all matters relating to organisational or Group structure changes regardless of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation, including social class or personal characteristics 		

Section 3: Internal EIA of the policy

The internal EIA is vital as this examines if the policy attains specific standards essential to meeting equality standards.

1 Does the document state, at the front of the document, that it can be made available, on request, in other formats such as in larger print, audio-format, Braille and in other languages, as appropriate?		
		Yes
2 Does the document use Arial font and minimum twelve type size?		
Yes		
3 Is the document accurate in terms of content, for example, are statements within the document accurate when evaluated against law, regulatory standards and related good practice guidance?		
Yes		
4 Are there any rules specified within the policy?		
Yes		
<p>If yes (or unsure), assess if such rules could be discriminatory in terms of equality law and other law (for example, could rules constitute indirect discrimination?)</p> <p>The Policy covers all employees across the RCH Group and aims to treat everyone fairly, regardless of protected characteristics. It seeks to ensure that there are no barriers to anyone accessing and making use of the policy and related procedures.</p>		
5 Is language appropriate throughout the document, for example, does it promote positive views about - and respect for other people?		
Yes		
<p>If no (or unsure), specify the changes required to ensure that appropriate language is used.</p>		

6 Is the document written in clear and plain language?		
Yes		
<p>If no (or unsure), specify the changes required and amend text as appropriate. This could be part of the document or general paragraphs. (Remember that sentences should, on average, be from fifteen to twenty words in length.)</p> <p>No jargon included within the document and all abbreviations are explained.</p>		
7 Does the document, if relevant, explain how service users can appeal and/or make a complaint?		
Yes		
If no, specify the changes required and amend text as appropriate.		
8 Does the document, if relevant, explain what positive action measures are in place?		
Not required		
If no, specify the positive action required and amend text as appropriate.		
9 Does the document, if relevant, explain what performance monitoring equality measures are in place?		
Yes		
If no, specify specific equality indicators required and amend text as appropriate.		

Section 4: External EIA of the policy

Now that section one to three has been completed, is there any negative or positive effect on people.

Protected Characteristic	Negative Effect Yes/No	Positive Effect Yes/No	Explanation
Age	No	Yes	It is not considered that the Policy will have potential for impact on this protected group(s)
Disability	No	Yes	As above
Gender reassignment	No	Yes	As above
Marriage and civil partnership	No	Yes	As above
Pregnancy	No	Yes	As above
Race	No	Yes	As above
Religion/belief	No	Yes	As above
Sex/gender	No	Yes	As above
Sexual orientation	No	Yes	As above
Social class	No	Yes	As above
Personal characteristics	No	Yes	As above

Section 5: Consultation issues

Summarise what types of consultation have been carried out, if any, and with whom:
Regular consultation is carried out with the Trade Unions; the Staff Forum and Senior Management Team meetings
Is consultation required in law and/or due to RCH's policy? Yes
Please explain: It is our policy that we consult with the recognised Trade Unions or employee representatives on issues related to organisational structure changes or changes to terms and conditions of service related issues

Signed off by Responsible Person: Maureen Gimby, Head of Corporate Services

Date: 27 August 2018

Next policy review date: August 2021